

## **CHAPTER 5** **FORMS MANAGEMENT**

### **SECTION 1** **POLICY AND COVERAGE**

#### **1. GENERAL INFORMATION.**

The Forms Management Program controls the development and distribution of forms throughout the Department. All Departmental forms are included in the program and must conform to the requirements prescribed in this Chapter and the Department's goals of:

- A. Increasing the efficiency of forms through proper design and the use of plain English.
- B. Promoting cost-savings in all aspects of forms development and handling.
- C. Eliminating and consolidating forms with similar uses.
- D. Reducing and simplifying paperwork.
- E. Ensuring that applicable laws, statutes, and regulations are applied in the design and use of forms.

#### **2. AUTHORITY.**

The Forms Management Program is authorized by the Federal Information Resources Management Regulations (FIRMR), 41 CFR 201-45.104. Other governing authorities include:

- A. 44 U.S.C. Chapters 21, 29, 31, and 33 and National Archives and Records Administration (NARA) regulations 36 CFR Chapter XII (formerly 41 CFR 101-11) provide various controls on the creation, maintenance, and disposition of all official records, regardless of media.
- B. The Paperwork Reduction Act of 1980, 44 U.S.C. Chapter 35, which calls for the coordination and integration of ADP, telecommunications, and records management policies.
- C. HUD Handbooks and other publications.

2400.1, Information Resource Management Policies.

2400.3, Reports Analysis and Clearance.

000.2, HUD Directives System.

1325.1, Privacy Act Clearance.

- D. U.S. Postal Service Domestic Mail Manual, issue 40, governing the size and inscription on forms when used as mailing pieces.
- E. Government Printing and Binding Regulations published by the Joint Committee on Printing, Congress of the United States.

### 3. GLOSSARY.

- A. **Form.** A fixed arrangement of captioned spaces designed for entering and extracting prescribed information. This includes all paper forms, ADP systems forms, and Electronic forms.
- B. **Electronic form.** Those forms which reside on magnetic optical, or video files. Characteristics of electronic forms include:
  - 1. Computer aided design and revision.
  - 2. Data is collected in an electronic format.
  - 3. Print on demand capabilities.
  - 4. Data may be added, changed, or deleted on screen/monitor to complete forms.
  - 5. User access is controlled by systems managers.
- C. **Standard Form.** A form prescribed by a Federal agency and approved by GSA for mandatory Governmentwide use. Standard Forms are identified by an "SF" prefix in the form number.
- D. **Optional Form.** A form developed by a Federal agency for use in two or more agencies and approved by GSA for non-mandatory Governmentwide use. Optional Forms are identified by an "OF" prefix in the form number.
- E. **Public-use Form.** A form that is used to gather information from ten or more members of the public or from State or local governments. This type of form requires approval by the Office of Management and Budget (OMB).
- F. **Report Form.** A form for collecting identical information from a number of persons or organizations either inside or outside the collecting agency. Reporting forms must be cleared in accordance with Handbook 2400.3, Reports Analysis and Clearance.
- G. **HUD Form.** Forms developed and prescribed by HUD. There are three classes of HUD forms:
  - 1. Controlled. Forms which must be registered and tracked within the Forms Management Program. Includes, but is not limited to:

- a. Forms with a continuous annual use of 100 copies or more.
  - b. Information gathering or reporting forms (see HUD Handbooks 2400.1 and 2400.3).
  - c. Forms prescribed by an directive, directive, or program procedure.
  - d. Forms maintained for official records.
- 2. Non-controlled. Forms which do not require registration or tracking. Examples are:
  - a. Forms with an annual use of less than 100 copies.
  - b. One-time use forms such as single use surveys.
  - c. Forms not required by any directive, directive, or program procedure.
  - d. Forms not used for information gathering/reporting requirements and/or not distributed or stocked outside the originating office (such as log sheets, computation/work sheets, etc.).
  - e. Verification forms of limited use not stocked outside the originating office (such as change of address or subscription verification forms).
  - f. Electronic forms used solely as data input screens with no relation or similarity to a paper form.
- 3. Non-form. Any print product assigned a form number solely for purposes of stock/print/distribution management. Includes, but is not limited to, signs, instruction sheets, bulletins, pamphlets, notices, contract clause sheets, placards, certain tags and labels, guide letters, form letters, and maps. Non-forms are excluded from statistical reporting of forms, even though they may be numbered and controlled under the Forms Management Program.
- H. Field Form.** Forms developed under the auspices of the Field Forms Management Liaison officers for HUD-internal use only within the Field jurisdiction and not for reporting requirements.
- I. Electronic Data Interchange (EDI).** The computer-to-computer interchange of information in standardized formats.
- J. Electronic recordkeeping.** The operation of recordkeeping systems in which a machine interface is required for the user to create, work with, or delete records. Examples are records residing on magnetic tapes, disks and drums, video files, and optical disks.
- K. Electronic signature.** A controlled data element entered into a computer by an authorized person to indicate approval or certification of information associated with the data element in a computer file (in the same manner as a handwritten signature indicates approval or certification with information on paper).

## SECTION 2

## **RESPONSIBILITIES**

### **4. DEPARTMENTWIDE RESPONSIBILITIES.**

#### **A. The Assistant Secretary for Administration.**

1. The Departmental Forms Management Officer, Office of Administrative and Management Services, Document Management Division, represents the Assistant Secretary for Administration and, carries out these responsibilities:
  - a. Establishing and maintaining the Departmentwide Forms Management Program.
  - b. Publishing guidelines, standards, and Procedures for the Department's Forms Management Program.
  - c. Providing forms control and analysis services.
  - d. Establishing forms control and recording procedures.
  - e. Ensuring the review of the need for, and content of, all Departmental forms.
  - f. Reviewing new or revised Departmental directives in clearance to ensure that references to forms are correct.
  - g. Reviewing all requisitions for the printing of forms.
  - h. Providing a semi-annual index or catalog of all controlled forms.
  - i. Establishing procedures for the submission, development, review, approval, recording, and identification of all controlled forms.
  - j. Maintaining the Department's official forms files.
  - k. Affirmatively sponsoring a Departmental program for automating forms and forms-dependent processes.

#### **B. Headquarters Primary Organization Heads are responsible for.**

1. Adhering to and ensuring compliance with the requirements and procedures prescribed by this Handbook.
2. Designating a Forms Management Liaison Officer (FMLO) for their organization (in a large organization, an FMLO may be designated for each major sub-organization at the option of the Primary Organization Head).
3. Determining the need for, and content of, each form initiated by their organization.
4. Making recommendations to aid in coordinating the forms needs and efforts of other organizations with mutual interests.
5. Ensuring the review of existing forms for need and cost.
6. Reviewing forms for accuracy of content.
7. Maintaining records of all forms initiated by the organization.
8. Ensuring that users and affected organizations are kept aware of the status of each form used in their organization.

**C. Field Managers** are responsible for:

1. Establishing and maintaining an effective component of the Departmental Forms Management Program in their jurisdiction.
2. Designating a Forms Management Liaison Officer for their jurisdiction.
3. Ensuring that Field staff establish only forms for internal Field use (no public-use forms and no reporting forms); that Field forms are consistent with the standards prescribed in this Handbook; and that forms prescribed by Headquarters are not altered in reproduction in their jurisdiction.
4. Establishing and maintaining control and recordkeeping procedures for all forms developed or printed in their jurisdiction.
5. Ensuring the review of existing Field forms for need and cost.
6. Ensuring efficient and economical reproduction and distribution of forms printed in their jurisdiction.
7. Ensuring that users and affected organizations are kept aware of any changes in the status of each Field form.

**D. Forms Management Liaison Officers** are responsible for:

1. Implementing all the requirements prescribed in this Chapter.
2. Reviewing all requests for forms printing within their organizations.
3. Cooperating with the Departmental Forms Management Officer and Forms Management Liaison Officers in other organizations to further the goals of the Department's Forms Management Program.
4. Providing advice and assistance to originators of forms (including originators of Field forms and those who may develop forms for consideration for Departmental implementation).
5. Identifying themselves (name and phone number) to the Departmental Forms Management Officer upon assuming the duties of a Forms Management Liaison Officer.

### **SECTION 3**

### **STANDARDS AND REQUIREMENTS**

5. **DESIGN AND ANALYSIS.** Design and analysis of forms is an ongoing process initiated by the prescribing organization continuing through the Forms Management Liaison Officer.
  - A. Forms are continually reviewed and analyzed for:
    1. Effectiveness in supporting relevant data processes.
    2. Ease and convenience of use.
    3. Necessity and cost-effectiveness.
    4. Consolidation with other forms.
    5. Efficiency of production, distribution, and use.
    6. Impact on other forms or procedures (including those in other organizations).
  - B. The Department's paper forms must be designed to be adaptable to black-on-white, letter-sized, single-sided reproduction. This is, primarily, to foster optimum versatility in printing and reproduction, particularly with laser printers and copiers. Any limitations on that adaptability, such as requirements for colored paper, chemical transfer or carbon interleaves for multiple copies, serial numbering, legal-sized paper, etc., must be demonstrated to specifically enhance the collection, processing, or management of information.

- C. Forms will be a standard size of 8 1/2 by 11 inches. Exceptions may be granted when determined to be necessary by the Departmental Forms Management Officer or the Field Forms Management Liaison Officer.
- D. Print-ready originals must be of a quality to satisfy normal printing requirements (Publications Branch, Office of Administrative and Management Services, can provide assistance in determining these requirements).

## **6. FORM IDENTIFICATION.**

- A. Forms will be identified as follows.
  - 1. All Departmental forms will contain the Department, identification and a primary organizational identification (a further subordinate organizational identification may also be included).
  - 2. The title of the form must accurately indicate its function or content. Avoid titles which are ambiguous or so similar to other forms titles as to confuse users.
  - 3. Form Identification numbers are required on controlled paper forms as follows:
    - a. ID numbers must be in the bottom, right corner of the paper form.
    - b. Headquarters forms numbers consist of the prefix "HUD-" or "FHA-", followed by an identifying number and, in parentheses, the edition date of that particular version of the form. These numbers will be assigned by the Departmental Forms Management Officer, or, with approval, by the Forms Management Liaison Officer of the originating office. (Note that all "FHA-" numbers will be converted to "HUD-" prefixed numbers as they are revised.)
    - c. Field forms may be numbered in any numbering system approved by the Field Forms Management Liaison Officer, followed, in parentheses, by an edition date. For example: "FTW-1900/3 (10/88)."
    - d. Existing forms not conforming to these requirements will be made to conform as they are revised.
  - 4. Directives or other documents which prescribe the use of a particular form(s) will be identified by number on that form. This identification will be located beneath the form number.

5. Control numbers for OMB Clearance and HUD Internal Reports Clearance are to be located in the upper-right and upper-left corners, respectively, of paper forms used for public or internal reporting.
- B. Supersession and stock disposition notices on revised and/or replacement paper forms must be placed in the lower-left corner of the form (for example: "obsolete, use existing stock until depleted," etc.).
7. **CLEARANCE REQUIREMENTS.** The Forms Management Liaison Officer of the originating office is responsible for ensuring that all clearance requirements are met for each form action initiated and for certifying as such on form HUD-21003, Request for Forms Action. Clearance requirements for forms are given below.
  - A. **Reports Analysis and Clearance.** see Handbook 2400.3.
    1. For HUD-Internal Reports, submit form HUD-131, Reports Clearance Record.
    2. For Public-Use forms, submit form SF-83, Clearance Request and Notice of Action.
  - B. **Privacy Act Clearance.** see HUD Handbook 1325.1.
    1. Forms directly related to an automated system must be cleared by the organization responsible for development/maintenance of that system.
    2. Forms must be cleared by all affected organizations.
    3. Forms prescribed by an Directive must be cleared simultaneously with the Directive.
    4. Forms used for program evaluation, program monitoring, or for review of the regulatory/statutory compliance of program participants must be previewed by the Office of Policy Development and Research.
8. **CONTROL FILES.** Control Files for forms shall be maintained by the Departmental Forms Management Officer for all Departmental controlled forms and by the Field Forms Management Liaison Officer for all Field controlled forms. The control file shall contain material to provide an accurate overview of the history and current status of each form.