

subject: INFORMATION COLLECTION THROUGH REPORTS

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10-00-00 PURPOSE AND SCOPE OF INFORMATION MANAGEMENT

The mission of the Department is to serve as the Federal Government's principal agency to administer mandated programs that further the good health of Americans and provide them with essential human services, particularly for those persons most vulnerable and unable to help themselves.

- A. The purpose of information management is to provide a bridge between the problems that arise in the administration of these programs and the decisions that must be made as solutions toward those problems.
- B. The scope of information management ranges from the definition of the problem to be solved, a determination of the information available to solve it and the information yet to be assembled.

For the latter, it is necessary to raise a number of questions. Does the information exist? Where can it be found? Is it in the public domain? Who currently holds it? What would be the cost of collection? Are there legal ramifications involved in collection? Are there "privacy" considerations? Are there security problems?

Thereafter, the requirer/acquirer of information must further consider the source of the information, because the source determines the means of collection, i.e., the regulations governing the collection and the techniques to be used in the collection generally, the instrument for collection of data is a form. In many instances, information from forms, followed by analysis, becomes the basis for a report.

10-00-10 PURPOSE AND SCOPE OF REPORTS MANAGEMENT

The purpose of a report is to provide information that, accompanied by other information from staff or from records, either becomes the final input to (1) decisionmaking; (2) developing a situation; (3) solving a problem; or incorporation into yet another report.

- A. The purpose of reports management in HHS is:
1. to acquire data and information so that decisions or analysis can be made on a timely basis;
 2. to secure this necessary data and information at minimum cost consistent with 2. above;
 3. to limit the reporting requirements to essential needs; and
 4. to maintain current and accurate information and control on all reports and reporting systems with which the Department and the OPDIVs are concerned.
- B. The scope of reports management entails several dimensions. It may be looked at from any or all of the far following approaches:
1. On the basis of the hierarchical level of the requirer of the report
 - a. Division level (or below) personnel
 - b. OPDIV or STAFFDIV Head down to a. above
 - c. The Secretary
 - d. Other Secretaries and Agency Heads, i.e., for interagency reports
 - e. The President (or Director, OMB), the Congress, and the Judiciary.
 2. On the basis of the location of the submitter of information for the report:
 - a. The submitter is an employee of an Agency of the Federal Government, and the report is provided to that Agency (defined officially as an internal report).
 - b. The submitter is an employee of an Agency of the Federal Government, and the report is provided to an Agency not that of the submitter (defined officially as an interagency report).
 - c. The submitter is not an employee of the Federal Government (defined officially as an information collection request or requirement imposed on the public--&g*, individual, unit of State or local government, company, etc.).

3. On the basis of control exercised over the report
 - a. Exempt reports
Required by Congress, the President (or Director, OMB),
or the Judiciary
Routine administrative reports
One-time reports
Division-level (or below) reports
 - b. Non-exempt reports
All other internal reports
Interagency reports
Information collection requests
4. On the basis of the relationship of the report to other steps and functions of the decisionmaking continuum. (See Sec. 10-00-40.)

The chapters of this Manual that provide instructions on reports management utilize all four of these approaches at one time or another.

10-00-20 DEFINITIONS

The following definitions are applicable to reports and reporting requirements:

A. Bootleg Report

A report used by an organization within the Department that requires clearance or approval, but has not received it.

B. Collection of Information

The obtaining or soliciting of facts or opinions by an agency through the use of written report forms, application forms, schedules, questionnaires, reporting or recordkeeping requirements, or other similar methods calling for either:

1. Answers to identical questions posed to, or identical reporting or recordkeeping requirements imposed on, ten or more persons, other than agencies, instrumentalities, or employees of the United States; or
2. Answers to questions posed to agencies, instrumentalities, or employees of the United States which are to be used for general statistical purposes.

C. Controlled Report

A report which is subject to clearance and/or management control.

D. Exempt Report

A report which is exempt from clearance and control by the Department Reports Management Officer, the General Services Administration's Office of Information Resources Management (GSA/OIRM), and the Office of Management and Budget. (see sec. 10-11-00).

E. Feeder Report

A report that is prepared primarily to supply data or information for another report. Feeder reports are normally given the same clearance/approval identification as the primary report.

F. HHS Coordinating Organization

The Office or activity that coordinates, for the Department, - -
to an HHS externally-required report.

G. Information Collection Request (ICR)

A written report form, application form, schedule, questionnaire, reporting or recordkeeping requirement, or other similar method calling for the collection of information.

H. Issued Report

A report that is prepared to meet an anticipated need and for which no requirement has been received. This type of report should be limited to a one-time report.

I. Interagency and Information Collection Request

A report that requires the collection of information from both Federal agencies and ten or more public respondents.

J. Interagency Information Collection Request

An interagency report that necessitates collection of information from ten or more members of the public by another department or Federal agency to satisfy the needs of the report.

K. Interagency Report

A report that is prepared by one or more Executive Departments or independent agencies for use by other Executive Departments and independent agencies. An interagency report may be either required by HHS or prepared

and submitted by HHS. Interagency reports require clearance by the Office of Information Resources Management (OIRM) and variations of interagency reports, by OIRM and OMB (see I. and J.)

L. Internal Report

A report for which the requestor and the respondents are all within the Department. It does not, however, include exempt reports that would otherwise meet this requirement.

M. One-Time (or Single-Time) Report

A report that is required a single time with no expectation that the requirement will be repeated.

N. Recurring Report

A report that is required more than one time.

O. Report

A compilation of data or information for use in determining policy; planning, controlling, and evaluating operations and performance; making administrative determinations; and preparing other reports. The data or information may be in narrative, statistical, graphic, or other form and may be on paper, magnetic tapes, or other media.

P. Reports Clearance/Approval Identification

A unique number or code used to identify an approved report. This identification is always included on a controlled report and its requiring directive. It also identifies the requiring organization of the report.

1. HHS Reports Approval Symbol

Approval and/or identification which is assigned by a designated Reports Management Officer in HHS or an OPDIV for a controlled report which is not controlled by OMB or GSA/OIRM.

2. OMB Reports Clearance Number

Clearance (approval) identification which is assigned by OMB for an Information Collection Request.

3. OIRM Reports Control Number

Approval identification which is assigned by GSA/OIRM for a controlled interagency (or variation) report.

Q. Reporting Requirement

Any requirement which calls for the preparation and ~~transmission~~ of a report.

R. Requiring Organization

The Operating Division, office, agency, or other organization that establishes a reporting requirement and, generally, has authority to propose revision or cancellation of the reporting requirement.

S. Responding Organization

The Operating Division, office, agency, or other organization that is required to respond to a reporting requirement.

10-00-30 CATEGORIES OF RESPONDENTS AND TYPES OF REPORTS, CLEARANCE
REQUIRED, AND AUTHORITIES

There are differing categories (and combinations of categories) of respondents from which data are required. These stem from differing information needs, based on different authorities. Similarly, they encompass a number of clearance process variations. Information delineating this is contained in Exhibit 10-00-A.

10-00-40 RELATIONSHIP OF REPORTS TO OTHER FUNCTIONS

The basic thrust of the information continuum in the Department of Health and Human Services is centered on decisionmaking requisite to the resolution of program problems. Reports form an integral part of this continuum. Exhibit 10-00-B lists a number of events and tasks which commence with the definition of the problem, continue with steps for acquisition of information (in which reports figure prominently), follow with the decisionmaking itself and the necessary action, and terminate with the ultimate disposition of records created by the events and tasks in the continuum.

The main concern at this point is to note that forms are the source for much data used in analysis, while reports become instruments of information and further analysis for final decisionmaking. These relationships either are often not understood or appreciated, or are glossed over. Only on rare occasions will a report be more accurate than the sum of its three inputs, the staff personal backgrounds, the records, and the information derived from data on forms. Logical analysis and presentation properly done will translate forms data into information and can do much to assist in the creation of a report that clarifies issues and options for the decisionmaker.

CATEGORIES OF RESPONDENTS AND TYPES OF REPORTS, CLEARANCES WIRE, AND AUTHORITIES

RESPONDENTS	TYPES OF REPORTS	TYPE OF CLEARANCE REQUIRED*	AUTHORITY	ES	
			OUTSIDE HHS	HHS MANUAL REFERENCES	
1. Public Respondent/ Recordkeepers (e.g., individuals, companies, State and local governments, etc.)	(exempt by law)	Originator	Implied - P.L. 96-511, Sec. 3502(4)(A)	GAM, Chapter 10-20 et seq.	
					a. Nine or fewer public respondents
					b. Ten or more public respondents
c. Agencies and employees of the U.S. giving answers for statistical purposes	Information collection request (ICR)	OMB	P.L. 96-511, Sec. 3502(4)(A) (Paperwork Reduction Act of 1980) and 5 CFR Part 1320	GAM, Chapter 10-20 et seq.	
a. Agencies and employees of the U.S. giving answers for statistical purposes	Information collection request (ICR)	OMB	P.L. 96-511, Sec. 3502(4) (B) 5 CFR Part 1320		
2. Federal Agencies	Reports to Congress, the Judiciary, the President, and OMB (except ICRs)	Dept. and/or OPDIV	Individual legislation and FIRMR 201-45.103-2 (d) (1)	GAM, Chapter 10-11-10, 10-11-40 and -50	
					a. Respondents within HHS
					b. Respondents within HHS and responding to BBS requests
					a. Internal report (recurring)
b. Due-time report (exempt)	Originator	FIRMR 201-45.103-2 (a)	GAM, Chapter 10-10		
c. required in routine administrative operations; used to document an inspection or survey, etc.; response to a request for review and coordination (exempt)	Originator	FIRMR 201-45.103-2 (a)	GAM, Chapters 10-11-10 and -20		

CATEGORIES OF RESPONDENTS AND TYPES OF REPORTS, CLEARANCES REQUIRED, AND AUTHORITIES

RESPONDENTS	TYPES OF REPORTS	TYPE OF CLEARANCE REQUIRED*	AUTHORITIES	
			OUTSIDE HHS	HHS MANUAL REFERENCES
c. Respondents within HHS and in same specified organizational category as originator (requirer)	(exempt)	Originator	FIRMR 201-45.103-2	GAPS, Chapters 10-11-10 and 10-11-30 C
d. Federal Government components are the respondents	Interagency report	GSA (OIRM)	FIRM? Subpart 201-45.6	GAM, Chapter 10-15
3. Federal and Public Respondents				
a. As in 2.d., in which at least one of the respondents must utilize an information collection request from the public in order to provide its data	Interagency information collection request	GSA and OMB	FIRMR 201-45.610-1, plus provisions of Chapter 10-16-3	GAM, Chapter 10-16
b. Federal Government components and the public are respondents	Interagency and Information collection request	GSA and OMB	FIRMR 201-45.610-1, plus provisions of Chapter 10-16-3	GAM, Chapter 10-16

*Regardless of type of clearance required (or not required) the provisions of the Privacy Act of 1974 apply (Chapter 10-19) .

