

*Frequently Asked
Questions
About Forms*

*Prepared By: Linda A. Gibson
Department of Health &
Human Services
Forms Management Officer
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Chapter 1

Overview of Forms Management

01:01 What is a Form and How is it Managed?

A form is any printed or otherwise reproduced document with space for insertion of information, descriptive material or addresses. This includes all forms originated in HHS for use by the public, other Federal agencies, and State or local government agencies. Some types of forms are:

- a. One-time or temporary forms; and
- b. Printed items without fill in space such as instruction sheets, notices, tags, labels and other similar items when their identification and control will facilitate printing, stocking and distribution.

01:02 Objectives of a Forms Management Program

- a. Increase the usefulness of forms through proper design resulting in forms that are simple to fill in and easier for the originator and others to use;
- b. Reduce costs incident to completing and using forms;
- c. Achieve savings in the design, printing, storage and distribution of forms;
- d. Eliminate unnecessary and duplicate forms and to consolidate existing related forms; and
- e. Prevent the use of unauthorized forms and to assure that forms are designed when data collection requires them.

01:03 Laws and Regulations that Govern the HHS Forms Management Program

The following laws and regulations govern the Federal Government Forms Management Program:

- a. Federal Records Act of 1950 (44 U.S.C.); as amended;
- b. Paperwork Reduction Act of 1995, 44 U.S.C. 35;
- c. Privacy Act of 1974, 5 U.S.C. 552a. Subsection (e)(3)(P.L. 93-579);
- d. Government Printing and Binding Regulations (Joint Committee on Printing, February, 1990); and
- e. 41 C.F.R. 201, Federal Information Resources Management Regulation.

01:04 Who is Responsible for Administering the Forms Management Program?

The Program Support Center Forms Management Officer has been delegated the authority for administering the Department of Health and Human Services Forms Program.

01:05 What are the Responsibilities of the OPDIV's Forms Management Officer?

The OPDIV's Forms Management Officer must:

- a. Review and approve new and revised forms;
- b. Analyze, develop, coordinate policy for their forms;
- c. Supply technical assistance to program offices in the design and preparation of forms;

- d. Advise offices of the Office of Management and Budget (OMB) regulations pertaining to public-use forms (as required) ;
- e. Clear all directives that cite forms to ensure the most current version is printed in the publication and all revisions are correct in the revised transmittals;
- f. Update all changes made to the electronic forms database;
- g. Offer advice and assistance to program offices on new and revised forms; and
- h. Establish and maintain historical, numerical approved files for forms; and
- i. Submit required reports to the Department of Health and Human Services Forms Management Officer (HHS/FMO)

01:06 How Do I Find Out About New and Revised Forms?

All new and revised forms will be posted in the Department's Forms Catalog on a monthly basis and will be available on the Department's website. Links to the OPDIV/Agency website will give users access to all forms used within the Department. Exceptions: Specialty forms (multi-page, carbon-interleaf forms, forms that are smaller and/or larger than the required 8 ½" by 11"; high security forms and office specific forms can be obtained only through the program office which is duly noted in the forms catalog. If you need help locating a form contact your agency Forms Management Officer.

01:07 What is in a Form Reference File?

Each OPDIV must maintain a separate reference file for every form listed in their program. Each file must contain the following:

- a. Current copy of form;
- b. Copy of all previous editions;
- c. Copy of the HHS-26, "Printing and Visual Services" (if the form is printed

by GPO or an outside vendor);

- d. The original PSC-17, "Request for Form Action" (Superseded the PHS-2626);
- e. OMB documents which include:
 - (1) The OMB approval notice;
 - (2) A copy of the OMB 83-I, "Paperwork Reduction Act Submission;"
 - (3) The supporting statement;
 - (4) Copy of the Federal Register Notices; and
 - (5) A copy of the form or collection instrument.

01:08 What are the Different Types of Forms?

- a. New Form: Any form that is issued by a program office for the first time.
- b. Revised Form: Any existing form that is changed.
- c. Public-Use Form: A form that is going to be completed by 10 or more people from the public.
- d. Obsolete Form: A form that is no longer in use.

Chapter 2 New Forms

02:01 How Do I Get a New Form Approved?

Submit a completed PSC-17 and a copy of the new form to the OPDIV Forms Management Officer for review and approval.

02:02 Who Issues Guidance on Designing New Forms ?

Contact the OPDIV Forms Management Officer for guidance and/or coordination on designing your new forms.

02:03 What Guidelines Should I Follow for Basic Forms Design?

The General Services Administration (GSA) Handbook, "Forms Analysis and Design," (Federal Stock Number 7610-00-753-4771; U.S. Government Printing Office Stock Number 022-002-9084-8).

02:04 What Are the Form Design Requirements?

Forms must include:

- a. The draft copy of the form with required instructions to fill-out the form;

- b. A form number which is generally placed in the lower left hand corner (get number from the forms management officer);
- c. The date the form is implemented for use within the OPDIV, which is placed to the immediate right of the form number. For example: HHS-698 (01/02); and
- d. The statement "previous edition is obsolete" or "superseded by form HHS-XXX."

02:05 Who Must Authorize Them?

The Originating Office must sign the PSC-17 and forward the request through the OPDIV FMO for review.

02:06 What Other Offices Must Clear Them?

- a. Any office that uses the form or could be affected by it (before forwarding to your FMO);
- b. OMB forms must be cleared through the OPDIV's OMB Clearance Officer for publication in the Federal Register for public comment (public use forms) and a copy sent to the OPDIV's FMO simultaneously. OMB forms generally contain substantive text with significant policy implications.

02:07 Who Assigns the Form Numbers and Edition Dates?

The OPDIV's FMO will assign the form number and edition date once the PSC-17 has been approved.

02:08

How Do I Get My New Form Printed and Distributed?

Contact your OPDIV Printing Office for all printing and distribution of forms. You will have to complete a HHS-26, "Printing and Visual Services." to have a form printed and distributed.

Chapter 3

Revised Forms

03:01 How Do I Get a Revised Form Approved?

Submit a PSC-17 to your FMO along with a copy of the revised form. If you are not the originating office of the form, a formal letter requesting modification of that form must be forwarded along with a copy of the revised form.

03:02 How Do I Get a Revised Form Designed?

Submit a PSC-17 to your FMO along with a draft copy of the revised form.

03:03 Who Must Authorize It?

The program office that has responsibility for issuing the form must sign the PSC-17.

03:04 What Other Offices Must Clear It?

- a. Officers that use the form or could be affected by it; and
- b. All OMB forms must be cleared through their OMB Clearance Officer and a copy of required documentation sent to the OPDIV FMO.

03:05 Who Assigns the Form Numbers and Edition Dates?

The OPDIV Forms Management Officer will assign the form number and edition date once the PSC-17 has been approved.

03:06 How Do I Get My Revised Form Printed and Distributed?

Contact your OPDIV Printing and Publications unit for all printing and distribution of forms. A completed HHS-26 must be forwarded with this request, send a copy to your FMO to ensure the correct copy of the form is attached before printing request is initiated.

Chapter 4

OMB Cleared Forms

04:01 What Forms Must be Cleared by OMB?

Forms soliciting information from 10 or more people by means of substantially identical questions, whether the information collection is mandatory, voluntary or required to obtain a benefit.

a. **What Does Soliciting of Information Mean?**

Soliciting of information includes any requirement or request for person to obtain, maintain, retain, report or publicly disclose information.

b. **Who is the Public?**

The public can be an organization, entities and/or individuals to whom a collection of information is addressed by the OPDIV within a 12-month period.

04:02 What Form Must I Complete to Obtain OMB Clearance?

You must complete the OMB 83-I, "Paperwork Reduction Act Submission," to obtain OMB clearance. The following information is required when filling out the OMB 83-I:

a. **What are Burden Hours?**

The total time or financial resources expended by persons to generate, maintain, retain, disclose or provide information to or for a federal agency.

b. What are Cost Estimates?

The cost the Government pays for purchasing or contracting out information collection services.

c. What is the Supporting Statement?

The supporting statement explains the circumstances that make the collection of information necessary. The supporting statement must accompany the OMB 83-I.

d. Who must Sign the OMB Documents?

The requesting office forwards the OMB documents through their OMB Clearance Office/Officer.

04:03 How are Collections of Information Approved through OMB?

OMB requires a 90-day period to review all collections of information. If OMB has any questions concerning the request, they will notify the OMB Clearance Office/Officer. OMB will then electronically send the "Notice of OMB Action" when a collection of information is approved.

a. What are the OMB Clearance Office/Officers Responsibilities?

- (1) Coordinating;
- (2) Reviewing;
- (3) Maintaining OMB files;
- (4) Preparing and submitting collection requirements and requests;
- (5) Furnishing assistance to all offices requesting information on forms or record keeping by the public;
- (6) Notifying requesting offices when forms are approved;
- (7) Granting extensions or modifications to the collection; and
- (8) Submitting a request for extension to OMB 60 days before expiration of current approval.

b. Who Advises Program Offices on their OMB Submissions?

The OMB Clearance Office and/or Officers with coordination with the agency Forms Management Officer.

c. Who Signs and Certifies the OMB Package?

The OMB Clearance Officer signs and certifies the entire package before it is submitted to OMB. A copy must be sent to the agency Forms Management Officer for historical filing with the established form.

04:04 What is the Originating Office's Responsibility in the OMB Approval Process?

- a. Review the complete package which includes the OMB 83-1, supporting statement, a copy of the Federal Register Notice, and forms pertaining to the collection before submitting it to the OPDIV OMB Clearance Officer/Officer.
- b. Submit the request for approval to the OPDIV OMB Clearance Office/Officer at least 60 days before expiration to ensure the OMB deadlines can be met.

04:05 Can Emergency Processing of a Collection be Requested?

Emergency processing may be requested through the OPDIV OMB Clearance Office/Officer.

04:06 How Long is an Emergency Collection Valid?

OMB approves emergency collections for a maximum of 120 days after receipt of submission.

04:07 What is OMB's Responsibility?

- a. Within 60 days after receipt of the collection of information OMB must notify the OPDIV of its decision to approve or disapprove;
- b. Contact the OPDIV OMB Clearance Officer if further action or information is needed;
- c. Assign an OMB control number and expiration date to all approved OPDIV forms; and
- d. Submit a written notification to the OPDIV OMB Clearance Officer of action taken.

All approved documents used to collect information must display:

- a. An OMB control number and expiration date in the upper right hand corner;
- b. A disclosure statement similar to the one shown below should reflect your * OPDIV's forwarding information which contains the following and/or similar wording:

“Please Note: According to the Paperwork Reduction Act of 1995, no person(s) are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is XXXX-XXXX. The time required to complete this information collection is estimated to average XX hours (or minutes) per response, including the time to complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestion for improving this form, please

forward your comments to: * U.S. Small Business Administration, Chief, AIB 409 3rd St., S.W. Washington, D.C. 20416 and Desk Officer for the Small Business Administration, Office of Management and Budget, New Executive Office Building, Room 10202, Washington, D.C. 20503. (Insert OMB Approval Number).

04:08 What Does the Privacy Act Require for Public-Use Forms?

- a. The Privacy Act of 1974, 44 U.S.C. Chapter 35, requires that any federal agency that collects information from individuals must provide those individuals with a written notification of the provide those individuals with a written notification of the purpose of the information and the consequences for failing to furnish the information.

- b. Under the provisions of the Privacy Act, applicants for assistance are not required to give their social security number. The SBA uses the social security number to distinguish between people with similar or same names. Failure to provide this number will not affect any right, benefit or privilege to which an individual is entitled by law.

- c. Any person concerned about a collection of information, disclosure statement or routine use under the Privacy Act or any person with a request for information under the Freedom of Information Act may contact their OPDIV Freedom of Information Officer.

04:09 What is the Effect of OMB Circular A-129 on Public Use Forms?

The OMB Circular A-129, "Managing Federal Credit Programs," enacted the nine point credit initiatives that require prescreening of applicants requesting federal financial assistance.

04:10

Outline of the OMB Public Use Forms Clearance and Issuance Process

a. 60-day Advance Federal Register Notice

Before any collections of information is forwarded to OMB for approval, your OMB Clearance Officer must forward a 60-day advance notice for posting in the Federal Register. This notice will solicit comments for (1) the need for the information; (2) accuracy of the agency's burden estimate, and (3) suggestions on ways to minimize the burden hours.

b. 30-day Federal Register Notice

At the end of the 60-day period, the information clearance package must be forwarded to OMB for approval. At the same time, the agency clearance officer must notify the public, through a second Federal Register notice, that the collection of information was submitted to OMB for review.

c. OMB Review Period

Within 60 days from the day the package is submitted (or the 30-day Federal Register notice is published, whichever is later), OMB will notify the agency of its decision to approve, to make substantive or material changes, or to disapprove and make this decision publicly available. OMB will provide at least 30 days for public comments after receipt of the proposed collection of information before making its decision. If OMB disapproves they will identify in the remarks section of the Notice of Action the specific changes necessary for approval upon re-submission. This package may be resubmitted without soliciting public comment again.

d. If approved, OMB submits the Notice of Action to the agency listing the OMB Control Number and Expiration Date.

04:11

What is the Approval Period for an OMB Approved Form?

The maximum approval period for an OMB approved form is 3 years.

Chapter 5 Obsolete Forms

05:01 How Do I Cancel a Form?

The initiating program office must notify the OPDIV Forms Management Officer in writing or via the PSC-17 that a form is obsolete and which form replaces it, if any.

05:02 Who Can Cancel a Form?

Only the Forms Management Officer may cancel a form generated by his/her agency/program office.

05:03 What Happens to Cancelled Forms?

Once a form has been canceled it is automatically archived by the agency's Forms Management Officer, using the agency's records disposition schedule.

05:04 How are Employees Notified of Cancelled Forms?

All canceled or obsolete forms are entered into the Agency's Forms Catalog, which is updated as soon as the changes occur.

Chapter 6

Electronic Forms

06:01 How Do I Get a New or Revised Form Designed in Electronic Format?

Submit a PSC-17 "Request for Form Action", along with form to your agency's forms manager officer.

06:02 Are the Electronic Forms Fillable?

When the originating offices request a form to be put up on the intranet/internet it is determined then whether the form should be fillable.

06:03 How are Electronic Forms Distributed?

Once a form has been approved by the originating office and the agency forms management officer, it is then forwarded to the IT staff for inclusion on the agency's forms website.

06:04 May I Place My Office's Form on the Intranet or Internet?

No. Forms can only be issued electronically through the agency's official forms system. This system resides on the Intranet and you should access your agency forms using this system.

**06:05 Who May Submit Requests for Forms to be Placed on the
Intranet?**

Only the forms originating office may submit a form for placement on the intranet, as long as they route it through their agency forms management officer.

06:06

**List of Form Managers Officers (FMO)
Department of Health & Human Services**

CDC

Beverly King
1600 Clifton Rd, E11
Atlanta, GA
404-498-1517

SAMHSA

Lynne Klein
5600 Fishers Lane, 14C-24
Rockville, MD 20857
301-443-8860

FDA

Elizabeth Sands
5600 Fishers Lane, 4B-41
Rockville, MD 20857
301-827-1480

CMS

Marjorie Stitz
7500 Security Blvd, SL-14-00
Baltimore, MD 21244
410-786-7898

HHS

Linda Gibson
5600 Fishers Lane, 1B-48
Rockville, MD 20857
301-443-7146

HRSA

Penny Joppy
5600 Fishers Lane, 14A-20
Rockville, MD 20857
301-443-0921

NIH

Denise Ray
801 Thompson Avenue
Rockville, MD 20850
301-443-0815

NIH

Joanne Eater
6011 Executive Blvd
Rockville, MD 20850
301-496-8155

PHS/PSC

Linda Gibson
5600 Fishers Lane, 1B-48
Rockville, MD 20857
301-443-7146

PHS (Liaison) (Commission Corps)

Virginia Kapusnick
5600 Fishers Lane, 4A-15
Rockville, MD 20857
301-594-3462

Form Creation

