

CIOP CHAPTER 1351.36

Departmental Forms Management Policy

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Section 36.1 Purpose

36.1.1 This policy establishes and prescribes for the U.S. Department of Transportation (DOT) the Forms Management Program for managing all forms developed and controlled by the Department. The purpose of this policy is to ensure DOT maintains an uniform and accurate inventory and exercises management of the content of all DOT forms. The DOT Forms Management Program ensures forms are:

- 36.1.1.1 Available for use when needed, are registered, and catalogued;
- 36.1.1.2 Approved for use, numbered, and adequately identified;
- 36.1.1.3 Discontinued, cancelled, and/or removed when not needed;
- 36.1.1.4 Well fitted to the procedures for which they are to be used, including professional analysis of purpose and content;
- 36.1.1.5 Efficiently designed to meet the needs of all users and to facilitate implementation of programs and procedures;
- 36.1.1.6 Reproduced, distributed, and stocked efficiently and economically; and

36.1.1.7 Compliant with applicable Federal statutes, regulations, and Departmental policy.

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Section 36.2 Background

36.2.1 Information is vital to the success of any organization and provides the basis for management decisions. Specific types of information are needed to meet particular requirements and forms are a primary means for providing and collecting information effectively, efficiently and economically. As information requirements change, effective forms management provides improved quality and control of authorized forms. In turn, this minimizes the burden on the public and maximizes their effectiveness to promote program performance.

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Section 36.3 Scope and Applicability

36.3.1 All Department and Operating Administration (OA) personnel who create, use, collect, maintain, control and disseminate forms must comply with this policy.

36.3.2 This policy provides for the control of all DOT forms that are to be produced and/or reproduced for use in the Department from their origin to their discontinuance, and revisions thereto, by the DOT Forms Management Program Officer (DFMPO) and Operating Administration Forms Management Officers (OAFMOs). Management must ensure that appropriate personnel are aware of, and adhere to, the policies, responsibilities, and procedures contained in this Order. This includes the use of Standard Forms (SF), Optional Forms (OF), OA forms and Field Office forms Department-wide.

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Section 36.4 Policy

36.4.1 Forms must satisfy authorized business needs, essential to accomplish the efficient economical operation of DOT's mission. All DOT forms must be prescribed for use by current Federal statutes, regulations and/or Departmental policy.

36.4.2 Existing SF, OF, DOT, and OA forms are the highest authority and must be utilized to satisfy authorized DOT business needs. Rationale for not using previously existing forms must be approved by the DOT Forms Management Program Officer (DFMPO). This policy requires the review of the purpose, procedures, and need of existing DOT forms on an annual basis to determine if forms use should be continued, discontinued; or formats improved. DOT personnel must not alter or modify any SF, OF, DOT or OA forms to suit individual needs.

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36.4.3 This policy establishes the standardization of DOT forms to the maximum extent practicable to foster consolidation of lower level forms and elimination of redundant forms into higher level forms. All DOT forms must provide clear instructions for processing and retrieval of information collected.

36.4.4 This policy requires that all DOT forms be written in plain language in accordance with the Plain Writing Act of 2010. Each form must serve its intended purpose, and forms must be consolidated to serve several purposes where possible.

36.4.5 This policy requires that DOT forms ensure compliance with the Paperwork Reduction Act (PRA), other Federal statutes, regulations, and Departmental policy, as cited in Appendix A.

36.4.6 This policy requires that all DOT public forms receive Office of Management and Budget (OMB) approval before collecting any information from non-Federal entities in accordance with DOT Order 1351.29 Paperwork Reduction Act (PRA) and Information Collection Request (ICR).

36.4.7 Forms for internal agency use only, do not require Departmental review but must be provided to the DFMPO in order to be recorded in the DOT forms inventory.

36.4.8 This policy requires that DOT eliminates redundant information collections through increased information sharing among offices, consolidation, and promoting the use of electronic forms to optimize DOT forms management. Where use of the form results in the collection of Personally Identifiable Information (PII), the sharing of that information shall, at a minimum, occur in accordance with relevant law and any privacy commitments made at the time of collection.

36.4.9 This policy requires that all DOT forms contain adequate and proper documentation to protect and preserve the legal and financial rights of DOT and persons directly affected by DOT's activities in accordance with DOT Order 1351.28, Records Management.

36.4.10 This policy establishes that the Department standard format for DOT public use and non-public use forms is electronic fillable. All OAs must use appropriate technology approved by the Office of the Chief Information Officer (OCIO). OAs must obtain a waiver from OCIO if non-approved technology is to be used.

36.4.11 This policy requires all DOT forms be in compliance with Section 508 of the Rehabilitation Act (Section 508). Employees and members of the public with disabilities must be provided access, and use of information and data that is comparable to the access available to people without disabilities unless an undue burden exists. If an undue burden exists, the information and data will be provided by an alternate method or format in compliance with Section 508 Electronic Information Technology Accessibility Standards; <http://access-board.gov/508.htm> and http://www.dot.gov/citizen_services/disability/disability.html.

36.4.12 This policy requires that all forms posted on the DOT website go through the approval process outlined in this Chapter prior to posting on the DOT web site. All forms posted on a DOT website must be Section 508 compliant and use OCIO approved technology. Forms drafted and updated by Federal agencies or private parties outside of DOT should not be posted on the DOT website. Instead, a link should be provided to the authoritative source for the form. This policy does not prohibit DOT OAs from posting sample forms for educational or informational purposes. Sample forms should be labeled as such and comply with the PRA and applicable intellectual property law.

36.4.13 DOT public forms must comply with Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency, which requires meaningful access to services consistent with, and without unduly burdening, the fundamental mission of DOT; <http://www.justice.gov/crt/about/cor/Pubs/eolep.php>

36.4.14 This policy requires all DOT forms be made available for access/use via the Internet and /or Intranet to the extent feasible.

36.4.15 This policy requires that information technology be used, to the maximum extent possible, for the creation, distribution and use of DOT forms to record, store, and disseminate information entered on those forms.

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Section 36.5 Roles and Responsibilities

36.5.1 The Office of Primary Responsibility (OPR) for this Chief Information Officer Policy (CIOP) chapter is the DOT OCIO through the Associate Chief Information Officer (ACIO) for IT Policy Oversight. The ACIO has oversight for the DOT Forms Management Program and serves as the central point of contact for DOT in matters related to SF, OF, DOT, and OA forms. The OCIO establishes strategy, directives and technology for the Departmental Forms Management Program. The DFMPO, in the office of IT Policy Oversight, is responsible for providing overall program management and leadership in the development and implementation of the Departmental Forms Management program on a National level. These responsibilities may be delegated as deemed appropriate. The OPR is responsible for:

36.5.1.1 Developing, documenting, and implementing the DOT Forms Management Program;

36.5.1.2 Maintaining and disseminating a DOT-wide list of the following:

36.5.1.2.1 DOT Forms inventory; and

36.5.1.2.2 OA Forms Officers.

36.5.1.3 Providing access to DOT-wide forms resources, supporting the forms approval and publication processes;

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36.5.1.4 Assigning form numbers for the Office of the Secretary of Transportation (OST) forms;

36.5.1.5 Determining which forms are candidates for integration into other processes, IT systems and/or broader data management strategies;

36.5.1.6 Collaborating with internal organizations to identify and mitigate issues in order to facilitate program objectives in a timely manner;

36.5.1.7 Reviewing newly created electronic forms for format, ease of use and Section 508 compliance;

36.5.1.8 Facilitating the review of this Order on an annual basis;

36.5.1.9 Reviewing all DOT forms inventories annually, identifying opportunities for standardization and eliminating duplicative forms within the Department and improving effectiveness of forms from creation and revision through cancellation; and

36.5.1.10 Ensuring creators and users of forms are aware of and comply with records management responsibilities.

36.5.2 The Heads of OAs, Heads of each Line of Business (LOB), Secretarial Offices, and Field Offices are responsible for forms management activities in accordance with this Order for the operational area within their OA, LOB, Staff Office, Field Office, or Center for which they have designee oversight. Designated OAFMOs and alternates assist in carrying out general DOT forms responsibilities and are specifically responsible for:

36.5.2.1 Providing technical guidance and assistance;

36.5.2.2 Originating and participating in forms projects and systems analyses, including those originated by the DFMPO and OAFMOs;

36.5.2.3 Controlling all forms originated or prescribed by the Office or service, and assigning form numbers for their OA as applicable;

36.5.2.4 Ensuring the creation of fillable formats using approved technologies for all forms that they own and originate;

36.5.2.5 Receiving OMB approvals for information collected by DOT or OAs from external entities; and

36.5.2.6 Ensuring all requirements for public use forms are met.

36.5.3 The OA and OAFMOs and alternates carry out the responsibilities of the DOT Forms Management Program and are specifically responsible for coordinating, evaluating and supporting the Forms Management Program in accordance with this

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Order for the operational area within their OA, LOB, Service or Field Office for in which they have designee oversight. The OAFMOs and alternates are responsible for:

- 36.5.3.1 Requiring that office heads ensure their current and/or proposed forms comply with applicable Federal statutes, regulations, Departmental policy, and;
 - 36.5.3.2 Managing inventory of OA forms;
 - 36.5.3.3 Converting all public-use forms to fillable format and ensuring Section 508 compliance via alternate electronic formats when necessary. Obtaining waivers for those forms excluded from Section 508 compliance requirements for safety and/or security reasons;
 - 36.5.3.4 Receiving approval of rationale for not using previously existing forms;
 - 36.5.3.5 Reviewing and ensuring OA forms under their purview are accurate, available and retrievable electronically;
 - 36.5.3.6 Ensuring that all forms and associated records are scheduled in accordance with the records management policy;
 - 36.5.3.7 Attending annual records management training;
 - 36.5.3.8 Creating and establishing an internal business process with supporting procedure guide(s), instructions, or supplemental directive(s) as necessary to this Order in support of the DOT Forms Management Program;
 - 36.5.3.9 Providing final draft of all proposed public use and internal agency forms to the DFMPO; and
 - 36.5.3.10 Seeking guidance from the DFMPO for non-routine matters that require higher level coordination or approval.
- 36.5.4 DOT Form Requestors are responsible for:
- 36.5.4.1 Utilizing Standard Forms (SF), Optional Forms (OF), and DOT forms as a first option;
 - 36.5.4.2 Coordinating with the appropriate OA Forms Management Officer during the early planning stages of form creation;
 - 36.5.4.3 Performing analysis to ensure against duplication, identifying compliance with information collection requirements and regulations and discussing form design for ease of use and cost effectiveness. Submitting forms approval requests, with supporting documentation to include:
 - 36.5.4.3.1 A draft of the proposed form;

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36.5.4.3.2 A copy of applicable statutes, Federal regulations, policies and procedures covering the form;

36.5.4.3.3 Instructions governing the use of the form; and

36.5.4.3.4 Justification for not using an existing form.

36.5.4.4 Minimizing burdens on the public by eliminating unnecessary redundancies through the use of information sharing among offices, consolidation, and the use of electronic forms;

36.5.4.5 Coordinating with the OA Privacy Officer on all forms that require collection of PII to ensure the collection of requested information is authorized and any appropriate Privacy Act notice is included on the form;

36.5.4.6 Forwarding approval requests and supporting documentation in required format to OAFMO; and

36.5.4.7 Recommending forms for integration and for data sharing across IT systems.

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Section 36.6 Dates

36.6.1 This Chief Information Officer Policy (CIOP) chapter is effective the date it is signed and must be reviewed annually by the DOT OCIO.

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Section 36.7 Cancellations

36.7.1 This directive cancels Chapter 10-3 of DOT H 1350.2 (dated May 1998) and OST Order 1320.3A, Forms Management Service for the Office of the Secretary (dated 9/19/86).

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Section 36.8 Compliance

36.8.1 Compliance is mandatory in accordance with National Archive and Records Administration (NARA), 36 CFR Chapter XII, Subchapter B.

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Section 36.9 Waivers

36.9.1 Any waivers required with regard to this directive must be provided in writing for review and approval by the OCIO.

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Section 36.10 Audit Procedures

36.10.1 The DOT forms inventory will occur every three years. It is the responsibility of the ACIO for IT Policy Oversight to facilitate the review of this directive on an annual basis.

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Section 36.11 Approval

For R.T. Schmidt, V. B. DCIO
Nitin Pradhan

8 NOV 2011
Date

DOT Chief Information Officer

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Section 36.12 Appendix A – Legal Authorities and Guidance

Statutes, Executive Orders, and DOT Orders that are referenced in the development of this order:

- Administrative Procedure Act of 1947 (APA), as amended
- Government Paperwork Elimination Act of 1998 (GPEA)
- E-Government Act of 2002
- Paperwork Reduction Act of 1995, as amended
- Privacy Act of 1974, as amended
- Section 508 of the Rehabilitation Act as amended
- Plain Writing Act of 2010
- National Archives and Records Administration, 36 CFR Chapter XII, Subchapter B
- Improving Access to Services for Persons with Limited English Proficiency Executive Order 13166, August 11, 2000
- Streamlining Service Delivery and Improving Customer Service, Executive Order 12862, April 27, 2011
- Federal Information Resources Management Regulation (FIRMR)
- OMB Circular A-130, Management of Federal Information Resources (1985)
- DOT Order 0000.1B – Standard Classification System
- DOT Order 1000.14A – Official Seal and Signatures of the Department of Transportation
- DOT Order 1351.28 – Records Management
- DOT Order 1351.29 – Paperwork Reduction Act (PRA) and Information Collection Request (ICR)
- DOT Order 1640.D – Classified Information Management

DOT CIOP is accessible on-line via web portal,
<https://one.dot.gov/ost/s80/S81/S81new/CIOP/Forms/CIOP.aspx>

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