

PART 2006 - MANAGEMENT

Subpart K - Reports Management Program and Control System

Table of Contents

<u>Sec.</u>		<u>Page</u>
2006.501	General.	1
2006.502	Definitions.	1
2006.503	The report management and control system.	2
2006.504	- 2006.506 [Reserved]	3
2006.507	Reports clearance procedures.	3
2006.508	Challenge reporting requirements.	5
2006.509	Review of reports.	5
2006.510	Retention of reports.	5
2006.511	Reports Management Officer (RMO).	6
	(a) Incumbent.	6
	(b) Duties and responsibilities.	6
	(c) The Statistics and Reports Branch (SRB).	7
	(d) National Office.	7
	(e) Finance Office.	7
	(f) State Offices.	8
2006.512	- 2006.550 [Reserved]	8
Exhibit A:	Report Descriptions.	
Exhibit B:	Exempted Reports.	
Exhibit C:	Report Control Records.	

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PART 2006 - MANAGEMENT

Subpart K - Reports Management Program and Control System

§2006.501 General.

This Instruction sets forth policies, responsibilities, and general procedures for the management and control of reports in the Rural Development. The Reports Management Officer (RMO), Director, Information Resources Management Division (IRMD), will establish and maintain the report management program and control system for the Agency. Exhibit A provides a description of types of reports covered by this Instruction. Exhibit B provides descriptions for reporting requirements exempted from the procedures established by this Instruction. Exhibit C provides a description of the reports control records and the documentation maintained for all reporting requirements. As part of the reports management program and control system, requests for new or modifications to official Rural Development automated systems involving reporting requirements as well as requests for automated recurring reports will be approved in accordance with procedures established by RD Instruction 2006-T.

§2006.502 Definitions.

Form. Any document, including letters, post cards and memoranda, printed or otherwise, reproduced with space for completing information, descriptive material, and/or addresses.

Paperwork Reduction Act of 1980. The Federal statute requiring Federal agencies to obtain the approval of the Office of Management and Budget (OMB) of proposed information collection requests before reports or records are requested from the public (e.g., ten or more persons, corporations, organized groups of individuals, State, territorial or local governments, etc.). This clearance will be obtained from the General Services Staff, Head, Paperwork Management Section as the Agency OMB Clearance Control Officer.

Report. A report is data and/or information, generally summarized, which is transmitted for use in determining policy; planning, controlling, and evaluating operations and/or performance; or preparing other reports. This data and/or information may be narrative, statistical, graphic, or in any form which displays the information in a manner suitable for review and analysis. Data may be processed manually, automatically by data processing systems, or a combination of both systems.

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Report control symbols (RCS). A classification code assigned to all reports which consists of a letter indicating the origin followed by a three digit number.

Reporting system. All processes involved in preparing a report, beginning with the data collection forms through the preparation of the report.

§2006.503 The report management and control system.

Program and management officials at all levels in Rural Development need dependable information to measure the effectiveness of existing programs, to establish policies and procedures, and to make decisions. Reports provide a significant amount of this needed information and are the backbone of the system which current programs and plans for future programs are directed. In Rural Development, reports will be systematically planned and controlled in order for information collected to be accurate, adequate, and meaningful to meet Agency needs. The report management and control system is designed to extend from original input documents through the data collection system in order to help managers carry out their responsibilities. By providing reliable information through a report management and control system which maximizes economy, uniformity, and simplicity, the following goals will be achieved:

- (a) Reduce reporting burdens imposed on field staff;
- (b) Eliminate nonessential reports and information;
- (c) Combine and simplify reports whenever possible;
- (d) Integrate reporting systems when feasible;
- (e) Reduce the frequency and distribution of reports to the minimum required for sound operation;
- (f) Provide reporting that compares progress with stated program objectives;
- (g) Provide automated reports, including transmission to remote terminals, as applicable and cost effective; and
- (h) Create and maintain a reports management index system identifying data elements by program, report, and the form which generates the data.

§§2006.504 - 2006.506 [Reserved]

§2006.507 Reports clearance procedures.

(a) New or revised reporting requirements must be processed and approved in accordance with this section. Each reporting requirement will be reviewed for need, usefulness, adequacy, alternate availability, and economy.

(b) Offices and/or organization units requesting new or revised reporting requirements will submit Form AD-368, "Report Analysis and Clearance Sheet," or RD Form 2006-15, "Request for Automation", to the appropriate Information Systems Management (ISM) organization as prescribed in RD Instruction 2006-T with all supporting documentation; proposed format; forms; and pertinent laws, directives, or regulations requiring submission of the report. Form AD-368 will be used for new or revised reporting requirements requiring the State, District, or County Office to prepare a written report which does not exist. RD Form 2006-15 will be used for new or modifications to official Rural Development Automated Systems (as applicable) listed in the unnumbered letter issued periodically by the Assistant Administrator for Information Systems Management (AAISM). Requests for cancellation of reports will be submitted on Form AD-368 to IRMD. Requests for reports which qualify as "exempted" will be processed in accordance with the procedures described in Exhibit B of this Instruction. Emergency Requests for Automation must meet the requirements defined in RD Instruction 2006-T. (NOTE: When requesting data from any system, refrain from requesting duplicate information or information which could be obtained from other reports).

(c) Offices and/or organization units requiring a report will prepare Form AD-368 completing the form as directed on the reverse side of the form except for items 1, 15, 16, and 19. If the new or revised report also requires the issuance of forms, directives, or instructions, the request package must contain Form RD 2006-6, "Clearance and Routing of Rural Development Issuance," and the necessary procedural and clearance material for submission. State Office submissions will use Form RD 2006-3, "Instruction and Form Justification," for clearance of forms and instructions.

(d) The completed package should be forwarded to IRMD for review of the new or revised reporting requirement. After review and approval of the submitted package, a RCS will be assigned. The RCS consists of a letter followed by a three digit number indicating the origin and frequency.

RD Instruction 2006-K
§2006.507 (d) (Con.)

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|---------------------|--------------------|------------|
| (1) Origin: | National Office | N |
| | Finance Office | F |
| | State Office | S |
| | District Office | D |
| | County Office | C |
| (2) Frequency: | One-Time Reports | 000 series |
| | Daily Reports | 100 series |
| | Weekly Reports | 200 series |
| | Bimonthly Reports | 300 series |
| | Monthly Reports | 400 series |
| | Monthly Reports | 500 series |
| | Quarterly Reports | 600 series |
| | Semiannual Reports | 700 series |
| | Annual Reports | 800 series |
| As Required Reports | 900 series | |

The RCS initially assigned will be used to identify the report when published or when any information is submitted in connection with the report.

(e) Requests with an assigned RCS will be initially reviewed by IRMD, Statistics and Reports Branch (SRB). These reviewed requests will be forwarded to the RMO for consideration and approval. If the request is for an automated recurring report, the RMO must forward the request on Form RD 2006-15 to the appropriate ISM organization as prescribed in RD Instruction 2006-T. The forwarded request will be considered approved; however, any additional or significant changes occurring during development will require approval by the RMO.

(f) The initial review by IRMD of the requests will ensure the requesting organizations have adequately justified the need for collecting the data and the use of the data once collected. In addition, the requesting organizations will keep the number of offices required to submit reports to a minimum through use of statistical sampling, if feasible.

(g) Upon approval of the reporting requirement, IRMD will notify the requestor(s). If a request lacks sufficient justification, IRMD will return the package to the requestor for additional information or reconsideration of the requirement.

§2006.508 Challenge reporting requirements.

Recommendations challenging approved reporting requirements should be submitted to the RMO. Recommendations may be submitted by any individual such as the recipient of a report, the initiating office, Congress and/or a program office(s). These recommendations must document the reasons for challenging the reporting requirement. Reasons may include, but are not limited to:

The reporting requirement:

- (a) Is overly cumbersome;
- (b) Has lost validity or currency;
- (c) Requests information which is not available;
- (d) Is too costly;
- (e) Is of questionable value; or
- (f) Is presented in erroneous format.

Challenges to Departmental, interagency, or congressional reporting requirements will be submitted through the Agency RMO to the Departmental RMO. The Departmental RMO will insure the challenged issues are resolved.

§2006.509 Review of reports.

A comprehensive review will be made by IRMD of all reports to be submitted or required by Rural Development. During this review, operating officials will be required to reaffirm the continued need for each report and to make improvements where needed. Form AD-367, "Reports Evaluation Checklist" will be completed by the operating official and/or organizational unit responsible for the review. Recurring reports prepared by the field office as a result of Form AD-368 will be reviewed at least every year while automated reports including those reports which are both manual and automated will be reviewed every 3 years.

§2006.510 Retention of reports.

Copies of reports will be maintained by IRMD in accordance with an established reports disposition plan in the National Office. The reports disposition plan has taken into consideration Departmental requirements for archiving agency reports. Specifically, the retention period will be at least 10 years for obligations, applications, delinquencies and write-offs.

§2006.511 Reports Management Officer (RMO).

- (a) Incumbent: The Director, IRMD or designee will serve as the Agency RMO.
- (b) Duties and responsibilities:
- (1) Establish and maintain a report management and control system which includes standards and procedures for the:
 - (i) Identification of management information needed for planning and control; and
 - (ii) Initiation, identification, periodic review, preparation, and distribution of Rural Development reports;
 - (2) Monitor reports submitted by, to, or within Rural Development to determine the possibilities for modification or elimination;
 - (3) Maintain a current reports management index system for all Rural Development reports including copies of clearance forms, justifications, and supporting documentation, and annually publish an index of all Rural Development reports;
 - (4) Provide essential management information concerning the number and types of reports in use and the estimated cost of obtaining, using, and maintaining current reports;
 - (5) Monitor reporting requirements on a continuous basis;
 - (6) Maintain liaison function with Departmental staff offices, National Office, Finance Office, and other agencies;
 - (7) Provide assistance to State Offices regarding field office reports management programs;
 - (8) Provide training and technical assistance to program managers and other Agency staff;
 - (9) Report to the Departmental RMO any interagency reports which do not carry an Interagency Reports Control Number; and
 - (10) Establish internal controls to assure conformity with Departmental policies and standards, including adequate systems for reviewing, clearing, costing, and controlling reports.

(c) The Statistics and Reports Branch (SRB). The primary operating support for the reports management functions of the RMO will be SRB. Management and operating officials at all levels will be responsible for determining the necessary information needed to manage their operations. When a need for additional information exists, SRB should be contacted prior to developing the new report request. Inquiries concerning the operation of the report management and control system program should be directed to the RMO.

(d) National Office. The National Office division and staff offices will provide the RMO with the necessary information about their respective areas when requested. In addition, each of these offices will:

- (1) Support each new or revised report by a directive establishing instructions for preparation and submission;
- (2) Notify the RMO of any discrepancies in reporting systems in operation as evidenced by inconsistent data, incorrect report formats, requests for clarification of instructions from field offices, etc.; and
- (3) Identify needs for data which are not being satisfied.

(e) Finance Office. In addition to the responsibilities listed in paragraph (d) of this section, the Fiscal & Accounting Division, Fiscal Accounting Branch, and Financial & Management Report Section (FMRS) will assist the RMO for the purpose of implementing the reports management and control system. FMRS will provide the RMO with the necessary information about its respective areas when requested and will:

- (1) Notify the RMO of any report which does not have a valid RCS;
- (2) Institute new reports when approved and assigned an RCS By the RMO; and
- (3) Respond to requests for new or revised reporting requirements after the request has been approved by the RMO.

Finance Office reports will be maintained in accordance with established internal operating procedures and will be updated on a yearly basis.

RD Instruction 2006-K
§2006.511 (Con.)

(f) State Offices. These offices will respond promptly to requests for information from the RMO. In addition:

(1) Notify the RMO of any new or revised reporting requirements;
and

(2) Identify needs for data which are not being satisfied.

§§2006.512 - 2006.550 [Reserved]

Attachments: Exhibits A, B, and C.

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Report Descriptions

New or revised reporting requirements are required in order to assure the continuing effective management of the Agency. The Agency may receive requests for information from various sources. The following types of reports will be processed in accordance with procedures established in §2006.507 except for the reports listed in Exhibit B:

1. Congressional report. A report required by Congress;
2. Departmental report. A report required by one USDA agency or staff office to be submitted by one or more other USDA agencies or staff offices;
3. Feeder report. A report required for providing information needed in preparing other reports;
4. Rural Development Agency report. A report prepared and solely used by Rural Development;
5. Interagency report. A report required or prepared by an agency outside Rural Development to be submitted by or to USDA agencies or staff offices. Under certain circumstances, an interagency report may also be subject to the Paperwork Reduction Act of 1980;
6. One-time report. A report prepared for a special request, one-time only, for one or more activities;
7. Public report. A report required by Rural Development for a non-Federal government, business, institution, groups or individual and is subject to the Paperwork Reduction Act of 1980. Reports for Federal agencies, instrumentalities and employees are also included if they call for information to be used for statistical compilations which will be of general public interest;
8. Recurring report. A report required at established frequencies needing repetitive preparation, in whole or in part;
9. Situation report. A report prepared on a specific event, situation at occurrence or at established frequencies. One or more submissions during a stated period of time may be required; and
10. Exempted report. A report normally exempted from the provisions of this section (See Exhibit 8).

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Exempted Reports

Requests for new, renewed or revised reporting requirements may be exempted from the procedures established in RD Instruction 2006-K, §2006.507. These reports include:

1. Individual personnel transactions documents, individual supply and procurement transactions, etc.;
2. Comments requested on proposed texts, responses to audits and investigations, prepared statements for Congressional hearings, and Congressional and Office of Management and Budget requests for views on pending and proposed legislation;
3. One-time or situation reports authorized by the Agency's top management officials requesting data from subordinates that does not duplicate information available in some other manner, such as information presented in narrative form for research findings, technical summaries, special studies or projects;
4. One-time reports that are derived from independent systems such as Rural Community Facility Tracking System (RCFTS), Multi-Family Housing Information, Status, Tracking & Retrieval (MISTR), Automated Multi-Housing Accounting System (AMAS), etc.;
5. Internal Finance Office reports used solely for system balancing and account servicing purposes; and
6. Reports requesting data under the Freedom of Information Act (FOIA).

Requests for exempted reports will be submitted to the Agency RMO. IRMD will perform the necessary reviews ensuring the request meets the exempted criteria. Once the request has been reviewed, written approval will be granted by the Agency RMO with notification being sent to the requestor. A copy of the written approval will be filed with the Report Control Records.

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Report Control Records

Farmers Home Administration is required to maintain control records on all reporting requirements the agency originates. IRMD will carry out the responsibility under the direction of the RMO. The records are to include:

1. A current reports management index system of all reports required to be submitted by and to Rural Development;
2. A copy of each report clearance form (including cost data) and other supporting documentation;
3. A copy of the directive or instruction which establishes the report;
4. Any form(s) associated with the report;
5. The latest edition of the report (or sample pages for voluminous reports); and
6. A copy of all evaluations made on the reports submitted by and to Rural Development.

The index of reports will be published annually. The reports control records will be maintained in such a manner for availability and reproduction needs and for systematic reviews, analysis and appraisals to be performed as required. A copy of the index will be provided to the Departmental RMO after publication. IRMD will establish a distribution list to include all Division levels and special requests.

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