

U.S. Department of Energy

Washington, D. C.

ORDER

DOE 1322.2C

SUBJECT: FORMS MANAGEMENT

10-22-91

-
1. PURPOSE. To provide policy on the development., approval, management, and evaluation of forms in the Department of Energy (DOE).
 2. CANCELLATION. DOE 1322.2B, FORMS MANAGEMENT, of 5-27-87.
 3. SCOPE. The provisions of this Order apply to all Departmental Elements and management and operating (M&O) contractors performing work for the Department, and includes both conventional and electronic forms.
 4. REFERENCES.
 - a. DOE 0000.1A, STANDARD SUBJECT CLASSIFICATION SYSTEM, of 8-14-79, which establishes the system for assigning identifying subject classification numbers to forms.
 - b. DOE 1322.3C, DIRECTORY OF DEPARTMENTAL FORMS, of 11-29-89, which lists Headquarters and Departmental forms approved for use by DOE.
 - c. DOE 1322.4B, DIRECTORY OF STANDARD, OPTIONAL, AND OTHER FEDERAL AGENCY FORMS, of 12-12-89, which lists forms, other than Headquarters and Departmental, that are used by DOE.
 - d. DOE 1324.2A, RECORDS DISPOSITION, of 9-13-88, which prescribes policy and procedures for the disposition of records.
 - e. DOE 1324.6, AUTOMATED OFFICE ELECTRONIC RECORDKEEPING, of 7-8-87, which provides requirements for managing electronic records.
 - f. DOE 1325.1A, CORRESPONDENCE MANUAL, of 6-18-81, which prescribes correspondence procedures for the Department.
 - g. DOE 1330.1C, COMPUTER SOFTWARE MANAGEMENT, of 1-12-90, which establishes responsibilities and policies for the management of computer software.
 - h. DOE 1360.1A, ACQUISITION AND MANAGEMENT OF COMPUTING RESOURCES, of 5-30-86, which establishes policy and procedures for the acquisition and management of computing resources.
 - i. DOE 1360.2A, UNCLASSIFIED COMPUTER SECURITY PROGRAM, of 5-20-88, which provides policy and procedures for unclassified computer security.
 - j. DOE 1800.1A, PRIVACY ACT, of 8-31-84, which establishes the Departmental program for implementing the Privacy Act of 1974.

DISTRIBUTION:
All Departmental Elements

INITIATED BY:
Office of Information
Resources Management

- k. DOE 5637.1, CLASSIFIED COMPUTER SECURITY PROGRAM, of 1-29-88, which establishes requirements, policies, responsibilities, and procedures for the development and implementation of a program to ensure the security of classified information in automated systems.
- l. Public Law 96-511, The Paperwork Reduction Act of 1980, as amended, which contains policies, procedures, goals, and objectives to reduce paperwork and enhance economy and efficiency by improving the management of information resources.
- m. Public Law 93-579, 5 United States Code (U.S.C.) 552a, Privacy Act of 1974, which imposes requirements on any Federal agency that maintains personal information in a system of records from which information is retrieved by name or other personal identifiers.
- n. Title 41, Code of Federal Regulations (CFR) Chapter 20 which prescribes the responsibilities of agencies for information management, including the management of forms.
- o. Title 44, U.S.C. 29, 31, and 33, which contains the legal authority for records management in the Federal Government.
- p. General Services Administration (GSA) Records and Information Management Handbook, "Forms Analysis and Design," which provides guidance for forms analysis, design, and printing functions in the Federal Government.
- q. GSA, "Electronic Forms and Authentication Practices," of 9-26-89. which provides guidance on electronic forms and authentication.
- r. Government Printing and Binding Regulations, Joint Committee on Printing, U.S. Congress, No. 24 of 3-77 (addenda 4-86), which establishes policies for production of Government printing.
- s. National Archives and Records Administration (NARA) General Records Schedules, which provide disposition authority for records common to several or all agencies of the Federal Government.

5. DEFINITIONS.

- a. Compliance Review refers to a review and examination of records, activities, and procedures at a site to assess the adequacy of the forms program and compliance with this Order. This review is normally conducted by the office having cognizance over the site, and management responsibilities for implementing this Order (e.g., Field Offices for M&O contractors).
- b. Edition Date is the date of issue for a form. (The edition date shall be changed with each revision of the form.)

- c. Energy Information includes “(A) all information in whatever form on (i) fuel reserves, exploration, extraction, and energy resources (including petrochemical feedstocks) wherever located; (ii) production, distribution, consumption of energy and fuel wherever carried on; and (B) matters relating to energy and fuels, such as corporate structure and proprietary relationships, costs, process, capital investment, and assets, and other matters directly related thereto, wherever they exist.” (Definition is from section 11 of Energy Supply and Environmental Coordination Act of 1974.)
- d. Exception means GSA approval for an agency to change the content or format of a Standard or Optional Form. Content exceptions apply to Standard Forms only, whereas format exceptions apply to both Standard and Optional Forms.
- e. Form is an arrangement of captioned spaces or fields designed for entering, collecting, and/or extracting prescribed information, regardless of media. The term includes the following:
 - (1) Electronic Form or an image that has been electronically generated and/or stored, and which is accessed for electronic fill-in, transmission, and/or printing.
 - (2) Paper Form is produced from a hardcopy master utilizing conventional printing, duplicating, or copying equipment, and is subsequently filled in manually.
 - (3) Types of forms include:
 - (a) Departmental Form is developed for use by DOE and approved by AD-24. It is designed to obtain or provide information to at least two or more Field Offices, or a Field Office and Headquarters. All Report forms shall also be considered Departmental, and approved and numbered accordingly.
 - (b) Local Form is developed for use within one specific DOE Field Office or at Headquarters only, and approved by the originating office’s designated Forms Manager.
 - (c) Optional Form is developed by a Federal agency for use in two or more agencies, and approved by GSA for nonmandatory Governmentwide use.
 - (d) Report Form is designed for collection of data from persons or organizations either inside or outside the collecting agency. Report Forms include:

- 1 Information Collection Form is used to collect information from the public. Information collections must be approved by the Office of Management and Budget (OMB).
 - 2 Interagency Form is used to report information to an agency from one or more other agencies covered by the Federal Records Act. Interagency Forms must be approved by GSA, except those used for general statistical purposes, which are approved by OMB.
- (e) Standard Form is prescribed by a Federal agency, pursuant to its authority for mandatory Governmentwide use. It is approved by GSA and, if required for general statistical purposes, also by OMB.
- f. Management Review refers to a review and examination of records, activities, policies, and procedures established by Field Offices to manage and coordinate the forms management program(s) which are established by sites under their cognizance. This review is normally conducted by the Headquarters organization with Departmental policy responsibility.
- g. Media is the method or mode of representation, such as paper or electronic format.
- h. Signature is a means by which the contents of, or the actions described in, a form are acknowledged, authorized, or certified. Examples include:
- (1) An original handwritten notation of the authorizing or certifying individual.
 - (2) The result of a process by which an individual indicates approval or certification by electronic means. The process must include information technology security practices taken to protect the validity of the approval or certification in direct proportion to the level of risk or loss associated with what is being authorized or certified.
6. POLICY. It is DOE policy to conduct an effective forms management program that assists and supports managers in accomplishing their missions and functions, and assures compliance with applicable statutes, policies, regulations, and standards.
7. EXCLUSIONS. The DOE forms management program does not include the following:
- a. Energy and Statistical Information Collection Forms are controlled by the Energy Information Administration (EI) . These collection forms are exempt from the procedures cited in this Order. Refer to the Office of Data Collection Services (EI-73) for information on EI's forms clearance program.

- b. Form Letter, or a letter sent to any number of persons by inserting the name of each recipient in the salutation, is excluded from the forms program and should be prepared in accordance with DOE 1325.1A.
 - c. Format, or a guide, table, example, or exhibit that illustrates a predetermined arrangement or layout, is excluded from the forms management program.
 - d. Non-Form Item, or a printed product without spaces for entering information, such as posters, tapes, labels, etc., may be excluded from the forms program. Assignment of form numbers for referencing, printing, stocking, and distribution purposes is optional.
8. OBJECTIVES of the forms management program are to:
- a. Establish Departmental standards and procedures, and to provide guidance on the coordination, development, approval, and management of forms.
 - b. Analyze, design, and approve forms in conformance with standards, procedures, and guidelines established by DOE and GSA in accordance with GSA's authority to improve the quality and management of forms created by the Federal Government.
 - c. Eliminate conflicting, duplicative, and obsolete forms and improve data collection, reporting methods, and information management procedures through the standardization and management of forms.
 - d. Ensure that all new and revised Report Forms have clearances from OMB and/or GSA, as appropriate.
 - e. Coordinate the analysis of forms with the authority which prescribes their use and ensure that, where appropriate, an implementing directive is issued on each Departmental Form.
 - f. Promote the development and use of electronic forms, including electronic authorization, as a matter of standard practice; and, take full advantage of the production, transmission, storage, and retrieval capabilities of information technology resources.
9. RESPONSIBILITIES
- a. Director of Administration and Human Resource Management (AD-1) (the senior official designated under section 3506(b) of the Paperwork Reduction Act of 1980) establishes and administers the forms management program, except for those forms that collect statistical and energy information, which are the responsibility of EI. (See page 3, paragraph 5c, for the definition of energy information.) Through:

(1) Office of Information Resources Management (IRM),(a) Director of Information Resources Management Policy, Plans, and Oversight (AD-24) shall:

- 1 Develop and coordinate the implementation of policies and standards for a Departmental Forms Management Program.
- 2 Schedule and conduct periodic management reviews with Field Offices to assess the sustained effectiveness of their forms management and oversight programs, and to make recommendations for improvement, as appropriate.
- 3 Schedule and conduct periodic compliance reviews with AD-25 and Headquarters Elements (for the Departmental and Headquarters Forms Management Programs), and Field sites such as: Energy Technology Centers, Power Marketing Administrations, Naval Reactor Offices, Naval Petroleum Reserves, Strategic Petroleum Reserve Project Office, Office of Scientific and Technical Information, superconducting Super Collider Project Office, and other project offices, as appropriate, to assess the adequacy of their forms management programs and to make recommendations for improvement.
- 4 Approve new and revised Departmental Forms and the use of other Federal agency forms, and coordinate GSA approval on proposed new Standard Forms and exceptions to existing Standard Forms.
- 5 Provide a listing of designated Departmental Forms Managers to AD-25 and AD-60, and changes to the listing as they occur.
- 6 Serve as liaison with other Government agencies on matters relating to Departmental Forms policy and evaluation.

(b) Director, Office of Information Technology Services and Operations (AD-25), for the Departmental Forms Management Program, shall:

- 1 Designate a Forms Manager to serve as focal point of activities pertaining to Departmental, Standard, Optional, and other Federal agency Forms. Provide the name to AD-24 within 30 days after issuance of this Order and when the program contact is changed.
- 2 Maintain a forms management program to review, analyze, and recommend approval of new and revised Departmental Forms, the use of other Federal agency forms, proposed new Standard and Optional Forms, and exceptions to existing Standard and Optional Forms. This shall be done in a manner consistent with DOE and GSA objectives, requirements, standards, and procedures.

- 3 Promote the use of electronic media for Departmental, Standard, and Optional Forms.
 - i Provide programming support in the development of electronic forms.
 - ii Distribute form technical specifications, such as field name and length, to designated Forms Managers.
 - iii Develop and maintain an electronic library of forms and, upon request, provide access to Departmental Elements.
- 4 At least annually, prepare and issue a directory (or directories) of all Departmental, Standard, Optional, and other Federal agency forms used by the Department.
- 5 Serve as liaison with other Government agencies on matters relating to operation of the Departmental Forms Management Program.

For the Headquarters Forms Management Program shall:

- 6 Establish and maintain a Headquarters Forms Management Program that complies with DOE and GSA objectives, requirements, and standards.
- 7 Designate a Forms Manager to serve as focal point for coordination of activities pertaining to the Headquarters Forms Management Program. Provide the name to AD-24 within 30 days after issuance of this Order and when program contacts are changed.
- 8 Ensure that cognizant Headquarters Elements establish, implement, and sustain a forms management program in accordance with this Order when developing and revising Departmental Forms, requesting supplies of paper forms or technical specifications of electronic forms, and obtaining clearance of Report Forms.
- 9 Implement an appropriate oversight process to ensure awareness and compliance with policy at cognizant Headquarters Elements.

(2) Director of Administrative Services (AD-60) shall:

- (a) Provide for design, composition, printing, stocking, and distribution of Departmental Forms.
- (b) Provide for the ordering, stocking, and distribution of Standard, Optional, and other Federal agency forms. (Distribution to Field Offices is made only for those Standard, Optional, and other Federal agency forms that cannot be obtained locally.)

- (c) Provide policy and advice on matters relating to Privacy Act responsibilities.

b. Departmental Lead Program Secretarial Officers, through:

(1) Managers of Field Offices shall:

- (a) Establish and maintain a forms management program that complies with DOE and GSA objectives, requirements, and standards. It is recommended that consideration be given to assignment or delegation of this program to the subordinate organizations for information management.
- (b) Designate a Forms Manager to serve as focal point for coordination of activities pertaining to the forms management program. Provide the name to AD-24 within 30 days after issuance of this Order and when program contacts are changed.
- (c) Ensure that DOE and M&O contractor sites under their cognizance establish, implement, and sustain a forms management program in accordance with this Order when developing or revising Departmental Forms, requesting supplies of paper forms or technical specifications of electronic forms, and obtaining clearance of Report Forms.
- (d) Implement an appropriate management oversight process to ensure awareness and compliance with policy at DOE, and cognizant M&O contractor sites.
- (e) Schedule and conduct periodic compliance reviews for DOE, and M&O contractor sites under their cognizance to assess the adequacy of the forms management program(s) and to make recommendations for improvement, as appropriate.

(2) Managers of Field Elements Other than Field Offices shall:

- (a) Establish and maintain a forms management program that complies with DOE and GSA objectives, requirements, and standards. It is recommended that consideration be given to assignment or delegation of this program to the subordinate organization for information management.
- (b) Designate a Forms Manager to serve as focal point for coordination of activities pertaining to the forms management program. Provide the name to AD-24 within 30 days after issuance of this Order and when program contacts are changed.

- c. General Counsel (GC-1), upon request, shall render legal advice on matters concerning the forms management program, including the review of proposed Report Forms.

- d. Heads of Headquarters Elements and Field Organizations shall designate an individual(s) to be responsible for bringing to the attention of the contracting officer each procurement failing within the scope of this Directive. Unless another individual is designated, the responsibility is that of the procurement request originator (the individual responsible for initiating a requirement on DOE F 4200.33).
- e. Procurement Request Originators (the individuals responsible for initiating a requirement on DOE F 4200.33) or such other individual(s) as designated by the cognizant Head of Headquarters Element or Field Organization shall bring to the attention of the cognizant contracting officer the following: (1) each procurement requiring the application of this Directive, (2) requirements for flowdown of provisions of this Directive to any subcontract or sub-award, and (3) identification of the paragraphs or other portions of this Directive with which the awardee, or, if different, a sub-awardee, is to comply.
- f. Contracting Officers, based on advice received from the procurement request originator or other designated individual, shall apply applicable provisions of this Directive to awards falling within its scope. For awards, other than management and operating contracts, this shall be by incorporation or reference using explicit language in a contractual action, usually bilateral.

BY ORDER OF THE SECRETARY OF ENERGY:



JOHN J. NETTLES, JR.
Director of Administration and
Human Resource Management

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CHAPTER I - STANDARDS

1. PROGRAM. A forms management program shall include:
 - a. Analysis, design, approval, or coordination of approval for new forms and form revisions.
 - b. Periodic reviews of usage and media to eliminate, consolidate, or redesign forms found to be obsolete, overlapping, unduly burdensome, or requiring design change or media improvement. Interact with and between form originators and Forms Managers to affect changes.
 - c. Coordination of form actions with other Departmental officials who have a programmatic interest in the content of the form, and as appropriate, ensure that clearances have been obtained from concerned officials, the General Counsel, and the Departmental Privacy Act Officer.
 - d. Assurance that clearances are obtained from GSA and OMB in compliance with interagency reporting requirements and the Paperwork Reduction Act, respectively, for Report Forms.
 - e. Assignment of form numbers (in accordance with DOE 0000.1A), edition dates, GSA/OMB clearance symbols, supersession notices, burden disclosure statements, and Privacy Act statements, as appropriate, prior to reproduction or use of the form.
 - f. Maintenance of form history files to include: form number, title, initiating office and individual, authority, distribution, copies of each approved edition and form action, special instructions, form reproducible for future reprints and/or technical specifications, and security information for controlled electronic forms and electronic authorization. Dates and quantities of forms printed may also be kept to establish printing requirements and minimum stock levels.
 - g. Coordination of authorized disposition in accordance with DOE 1324.2A, DOE 1324.6, and the NARA General Records Schedules.
 - h. Timely publication of a directory(ies) of forms that includes form number, title, edition date, originating office, source of supply, media, and, if appropriate, report control symbol.
 - i. Promotion of the transition from hardcopy forms to electronic media, and coordination with appropriate offices in the development and/or accession of electronic forms (i.e., computer security, systems design, and programming support).
 - j. Compliance reviews of records, procedures, and activities for cognizant sites, elements, or M&O contractors over which there is management responsibility for implementing this Order.

2. ANALYSIS. DOE F 1322.4, FORMS AND REPORTS CHECKLIST/APPROVAL, shall be used by Forms Managers to assist in analyzing and designing new or revised Departmental Forms (see Attachment I-1). The forms analysis process typically includes:
- a. Analysis of each form's purpose, use, content, related procedures, media, and disposition. Each item of information must be essential, with data elements arranged in logical sequence according to workflow or type of source documents.
 - b. Reasonable assurance that the form does not request information already available from another source (i.e., information contained in a report, record, or a data base maintained by another organization or provided by another form). Information sharing is encouraged to prevent duplicate reporting.
 - c. Assurance that the information to be provided is reasonable and worth the benefits to be derived. In computing Report Form costs and/or burden, the time of all persons who will compile, enter, transmit, review, and file the information shall be included, as well as design, printing, storage, automation, and distribution costs.
 - d. Assurance that Report Forms are approved through appropriate channels, bear a clearance number(s), and, if applicable, expiration date(s).
 - e. Assurance that, where applicable, Departmental Forms are supported by a directive setting forth instructions for preparing, submitting, and using the form (instructions are not required for self-explanatory forms).
 - f. Projection of each paper form's use to determine correct quantities to be printed, suggested reorder lead-time, and minimum stock levels.
 - g. Assurance that Departmental Forms requiring multiparty are analyzed for unnecessary copies, and consideration is given to specifications which foster paper recycling.
 - h. Assurance that postal regulations have been met when developing self-mailer forms.
 - i. Only where necessary, verifying and approving officials' signatures, and assurance that instructions, due dates, and number of copies required are specifically stated.

3. DESIGN. Forms shall not be redesigned solely to accommodate design standards.
 - a. Paper. The following standards shall be applied to paper forms.
 - (1) Forms shall be 8 1/2" by 11, " with typewriter spacing required for those forms completed by typewriter.
 - (2) The form number, edition date, and supersession notice shall be placed in the upper left corner of each sheet of the form and instructions. (These items may also appear on the reverse side of a page.)
 - (3) If required, an OMB and/or GSA control number shall be placed in the upper right corner on the first page of the form and, where applicable, the first page of the instructions. Additionally, OMB requires a burden disclosure statement on information collections. This shall appear as close as possible to the OMB control number in the upper right corner, and include an estimate of the average burden hours per response. If the burden statement cannot be placed on the front page or in the beginning of text, it should be included at the beginning of the instructions.

** BURDEN DISCLOSURE STATEMENT **

"Public reporting burden for this collection of information is estimated to average _____ hours (or minutes) per response; including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden to: U.S. Department of Energy, Attn: IRM Policy, Plans, and Oversight (AD-241.2), Paperwork Reduction Project (1910-XXXX)*, Washington, DC. 20585, and to the Office of Management and Budget, Paperwork Reduction Project (1910-XXXX)*, Washington, DC 20503."

*Fill-in the four-digit OMB control number.

- (4) The name of the Department (U.S. DEPARTMENT OF ENERGY) and title of the form shall be placed at the top of the form.
- (5) The use of box design with upper left caption, ballot boxes, and preprinted data are to be maximized.
- (6) Normally, item instructions should appear next to the item or elsewhere on the form itself, rather than on a separate page. Instructions for Report Forms shall include statements on:

- (a) The purpose of the form and a description of how the data will be used.
 - (b) When and where the form is to be submitted;
 - (c) Who is required to file; whether reporting is mandatory, voluntary, or required to obtain or retain a benefit; and the consequences of not providing the requested information;
 - (d) What is required to be filed (e. g., number of copies and which attachments);
 - (e) All needed definitions;
 - (f) All needed general and specific instructions for each data element;
 - (g) The authority for collection of information, if applicable; and
 - (h) The statement required by subsection (e) (3) of the Privacy Act, if appropriate, and the provisions for confidentiality, if any, with respect to the information requested.
- (7) When narrative statements are required as part of a form, reporting instructions shall explicitly state requirements.
- (8) When placed on a separate page, form instructions shall be aligned in two or more narrow columns rather than on full-width lines, and as numbered items rather than in paragraph style. , When instructions are segregated on a form, they should be placed:
- (a) At the top, if concise and applicable to the whole form;
 - (b) At the bottom, if that enables more economical use of space; or
 - (c) On the reverse, if there is no available space on the face of the form.
- (9) Deviations from design standards on Departmental Forms must be justified in writing and approved by AD-25.
- (10) Specifications shall be provided as an attachment to DOE F 1322.4 for specialty items, such as marginally punched or computergenerated forms, before they are forwarded to printing. Information on the type and model of automated equipment to be used shall be provided, as needed.

(11) The following type styles and type faces have been developed for use by the Department. Every effort shall be made to match the designated type styles and type faces whenever possible.

- | | |
|--|---|
| (a) Form Number
and Edition
Date | Univers/Helvetica
(Triumvirate) 6 pt. Med.
Italics--caps |
| (b) Supersession
N o t i c e s | Univers/Helvetica
(Triumvirate) 6 pt. Med.
Italics--caps and lower case |
| (c) U.S. DOE | Univers/Helvetica
10 pt. Bold--caps |
| (d) Title of the
Form | Univers/Helvetica
11 pt. Bold--caps |
| (e) Subtitles | Univers
10 pt. Bold--caps
and lower case |
| (f) Information
appearing in () | Italics (in a type face
and size consistent with
the body of the form) |
| (g) Body of the Form | Shall vary with content |
| (h) Instructions | Univers/Helvetica
8 pt. Med.--caps and lower
case |

- b. Electronic. As electronic forms are created or revised, the following standards shall be applied.

NOTE: When transitioning from paper to electronic media or using both media in parallel, it is not mandatory that the screen image of the electronic form exactly duplicate the paper form, as long as flow and content are equivalent. However, a printed electronic form shall match the preprinted paper form as closely as possible. (See I-7, 4d for numbering of Electronic Forms.) An exact reproduction is not required. Where technical specifications come from another source, those specifications shall be followed, and requests for deviations or exceptions shall be approved by the originating organization.

- (1) Form number, edition date, and supersession notice shall be available and capable of being displayed in appropriate location.
- (2) GSA and OMB control numbers shall be available and capable of being displayed in appropriate locations. OMB control number and burden statement shall be displayed as part of form instructions.
- (3) The name of the Department (U.S. DEPARTMENT OF ENERGY) and title of the form shall be displayed in appropriate location.
- (4) Instructions shall be placed as close to the field displayed as software will allow. At a minimum, exit to and from full instructions should return user to the field in question.
- (5) Instructions for electronic Report Forms shall meet the requirements as specified for paper forms in Chapter I, paragraph 3a(6).
- (6) Authorizing or certifying signatures cannot precede the last field requiring approval.
- (7) Electronic signatures shall be controlled to ensure system integrity and security of sensitive and/or controlled documents. element serving as an electronic signature shall be unique to the authorizing or certifying official, and be safeguarded, as appropriate, in direct proportion to the level of risk or loss associated with the document.
- (8) Once an electronic authorization or certification occurs, it shall become a permanent part of an audit trail associated with the data approved. Retrieval capability shall exist to view precisely what data was approved or certified, by whom, and on what date.
- (9) Procedures shall be established to prevent unauthorized/undocumented changes to the data input on an electronic form or the electronic form itself. All changes shall be documented and promptly sent to the authorizing and/or certifying official(s) for approval.
- (10) Variables shall be coordinated between organizations when forms data is electronically transmitted.
- (11) Internal controls and security measures shall be established to ensure compliance with Departmental policies and procedures for electronic data systems.

4. FORM NUMBER. Each approved form shall be assigned an identifying subject classification number in accordance with DOE 0000.1A.
 - a. Letter Prefix to Subject Classification Number.
 - (1) A subject classification number shall be prefixed as follows:
 - (a) DOE Form. By the letters DOE only when the form is intended for use by two or more Field Offices, or a Field Office and Headquarters (e.g., Departmental, DOE F 1322.2).
 - (b) Local Form. By letter assigned to each major element within DOE only when the form is intended for use at one Field Office or Headquarters (e.g., Idaho, ID F 1322.2; Headquarters, HQ F 1322.2).
 - (2) After the organization prefix, the letter "F" will be used to designate a form.
 - b. Subject Classification Number shall be assigned by the originating office from DOE 0000.1A, and generally shall be consistent with the number assigned to the authorizing directive.
 - c. Sequential Number is the consecutive number given to identify a specific document in order of issuance. A sequential number (.1, .2) is assigned to a form after final approval. Such numbers for local forms shall be assigned by the Forms Managers. AD-25 shall assign sequential numbers to Departmental Forms.
 - d. Electronic Form shall be designated by a pound sign (#) suffixed to the sequential number to distinguish it from its printed counterpart (DOE F 1322.2#) .
 - e. Edition Date or date of form issuance (e.g., month/year, 3-92) shall be placed in parentheses beneath the form number by the approving Forms Manager. Edition date allows the user to determine the currency of the form. The date shall be changed with each revision.
 - f. Supersession Notice shall appear in parentheses under the form number and edition date and shall be used to specify whether existing stocks of the previous form edition may or may not be used. The notice also specifies whether the form number of the latest edition differs from the previous one. If the form number has changed, the previous number and edition date of the replaced form should be referenced as part of the supersession notice.

FORMS AND REPORTS CHECKLIST/APPROVAL

DOE F 1322.4 Previous editions may be used		U.S. DEPARTMENT OF ENERGY FORMS AND REPORTS CHECKLIST/APPROVAL										
Instructions: Complete applicable sections only. Forward completed forms to your organizational Reports and Forms Manager for review and coordination of approval for each proposed form or report..												
I. ANALYSIS (Both Forms and Reports)												
1. TYPE OF FORM/REPORT: New <input type="checkbox"/> Revision <input type="checkbox"/> Extension (no change) <input type="checkbox"/> Cancellation		2. TITLE: FORMS QUESTIONNAIRE										
4. REPORTING REQUIREMENT: <input checked="" type="checkbox"/> Internal <input type="checkbox"/> Interagency <input type="checkbox"/> Information Collection		6. Prescribing Directive: AD N 1322.X										
5. Current Form/Report No.: N/A		3. FREQUENCY OF USE: <input type="checkbox"/> Single <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Quarterly <input checked="" type="checkbox"/> Monthly <input type="checkbox"/> Annually <input type="checkbox"/> Semi-Annually										
7. <input checked="" type="checkbox"/> <input type="checkbox"/> Purpose and content of form/report have been reviewed, and are reasonable and in keeping with the function of the originating organization.												
8. <input checked="" type="checkbox"/> <input type="checkbox"/> Data needs of other organizations have been considered. Information will be collected from: <table style="display: inline-table; vertical-align: top; margin-left: 20px;"> <tr> <td><input type="checkbox"/> DOE-wide</td> <td><input type="checkbox"/> One element</td> <td><input type="checkbox"/> Contractors (GOCO's/off-site)</td> </tr> <tr> <td><input type="checkbox"/> HQ only</td> <td><input type="checkbox"/> Field only</td> <td><input type="checkbox"/> Financial Assistance Recipients</td> </tr> <tr> <td colspan="3"><input type="checkbox"/> Other, specify:</td> </tr> </table>				<input type="checkbox"/> DOE-wide	<input type="checkbox"/> One element	<input type="checkbox"/> Contractors (GOCO's/off-site)	<input type="checkbox"/> HQ only	<input type="checkbox"/> Field only	<input type="checkbox"/> Financial Assistance Recipients	<input type="checkbox"/> Other, specify:		
<input type="checkbox"/> DOE-wide	<input type="checkbox"/> One element	<input type="checkbox"/> Contractors (GOCO's/off-site)										
<input type="checkbox"/> HQ only	<input type="checkbox"/> Field only	<input type="checkbox"/> Financial Assistance Recipients										
<input type="checkbox"/> Other, specify:												
9. <input checked="" type="checkbox"/> <input type="checkbox"/> Other sources for the information were considered. Specify:												
10. <input checked="" type="checkbox"/> <input type="checkbox"/> Instructions are clear, adequate, and easy to read.												
11. <input checked="" type="checkbox"/> <input type="checkbox"/> Format is arranged in effective manner with data elements in logical sequence according to workflow or types of source documents.												
12. <input type="checkbox"/> <input type="checkbox"/> Multi-part copies are justified, and distribution is indicated for each. N/A												
13. <input checked="" type="checkbox"/> <input type="checkbox"/> Frequency of collection is adequate and not excessive.												
14. <input checked="" type="checkbox"/> <input type="checkbox"/> Verifying and approving official's signatures are included only where necessary.												
15. <input checked="" type="checkbox"/> <input type="checkbox"/> Due date is specifically stated and coincides with requirements and workloads.												
16. <input checked="" type="checkbox"/> <input type="checkbox"/> An authority prescribes the form/report: <table style="display: inline-table; vertical-align: top; margin-left: 20px;"> <tr> <td><input checked="" type="checkbox"/> Internal</td> <td><input type="checkbox"/> Public Law</td> <td><input type="checkbox"/> Another agency</td> <td><input type="checkbox"/> Other, specify:</td> </tr> <tr> <td><input type="checkbox"/> Cong'l. Request</td> <td><input type="checkbox"/> OMB</td> <td><input type="checkbox"/> GAO</td> <td><input type="checkbox"/> State request</td> </tr> </table> (Check all that apply)				<input checked="" type="checkbox"/> Internal	<input type="checkbox"/> Public Law	<input type="checkbox"/> Another agency	<input type="checkbox"/> Other, specify:	<input type="checkbox"/> Cong'l. Request	<input type="checkbox"/> OMB	<input type="checkbox"/> GAO	<input type="checkbox"/> State request	
<input checked="" type="checkbox"/> Internal	<input type="checkbox"/> Public Law	<input type="checkbox"/> Another agency	<input type="checkbox"/> Other, specify:									
<input type="checkbox"/> Cong'l. Request	<input type="checkbox"/> OMB	<input type="checkbox"/> GAO	<input type="checkbox"/> State request									
17. <input type="checkbox"/> <input checked="" type="checkbox"/> System is automated. <input checked="" type="checkbox"/> <input type="checkbox"/> MIS has been approved by AD-25 MIS: FOR <small>(name or acronym)</small>												
18. <input checked="" type="checkbox"/> <input type="checkbox"/> All data elements are justified and serve a specific need. <input checked="" type="checkbox"/> <input type="checkbox"/> References to legislation, executive orders, regulations, directions and forms are up to date.												
19. <input checked="" type="checkbox"/> <input type="checkbox"/> Overall form/report is logical, clear and concise.												
20. <input checked="" type="checkbox"/> <input type="checkbox"/> Respondents are obligated to comply: <table style="display: inline-table; vertical-align: top; margin-left: 20px;"> <tr> <td><input checked="" type="checkbox"/> Voluntary</td> <td><input type="checkbox"/> Mandatory</td> </tr> <tr> <td><input type="checkbox"/> Required to obtain benefit</td> <td><input type="checkbox"/> Other, specify:</td> </tr> </table>				<input checked="" type="checkbox"/> Voluntary	<input type="checkbox"/> Mandatory	<input type="checkbox"/> Required to obtain benefit	<input type="checkbox"/> Other, specify:					
<input checked="" type="checkbox"/> Voluntary	<input type="checkbox"/> Mandatory											
<input type="checkbox"/> Required to obtain benefit	<input type="checkbox"/> Other, specify:											
21. <input type="checkbox"/> <input checked="" type="checkbox"/> Privacy Act Notice is required <input type="checkbox"/> <input type="checkbox"/> and has been approved by MA-232.1.												
22. <input checked="" type="checkbox"/> <input type="checkbox"/> Appropriate instructions are clear for form/report submission: <table style="display: inline-table; vertical-align: top; margin-left: 20px;"> <tr> <td><input checked="" type="checkbox"/> Number of copies to be submitted</td> <td><input type="checkbox"/> Frequency and Due Date</td> <td><input checked="" type="checkbox"/> Mailing Address Included</td> </tr> </table>				<input checked="" type="checkbox"/> Number of copies to be submitted	<input type="checkbox"/> Frequency and Due Date	<input checked="" type="checkbox"/> Mailing Address Included						
<input checked="" type="checkbox"/> Number of copies to be submitted	<input type="checkbox"/> Frequency and Due Date	<input checked="" type="checkbox"/> Mailing Address Included										
23. <input checked="" type="checkbox"/> <input type="checkbox"/> Usage projection has been done to determine print quantity.												
24. <input type="checkbox"/> <input checked="" type="checkbox"/> Other forms/reports are superseded. Specify:												
25. <input type="checkbox"/> <input type="checkbox"/> Postal regulations have been met and the most economical mailing rate used. N/A												
26. <input checked="" type="checkbox"/> <input type="checkbox"/> Filing methods and recordkeeping requirements have been addressed. Records Retention Period: 2 yrs												
27. Purpose of new form/report or reason for change: (Give brief statement) To review form usage.												
28. If form or report is being cancelled, indicate reason:		29. Subject Classification Number: (Forms Only) HQ 1322. <small>Sequence Numbers for Departmental and HQ forms will be assigned by MA-213.)</small>										
30a. Originator: (Name and Routing Symbol) R. Carpenter, AD-241	30b. Date	33a. Forms Official (MA-213): (Signature) L. Painter, AD-25	33b. Date									
31a. Reports/Forms Manager: (Signature) E. Knouse, AD-24	31b. Date	34a. Directives Official (MA-213): (Signature) H. Prather, AD-122	34b. Date									
32a. Reports Official (MA-213): (Signature) N/A	32b. Date	35a. Records Official (MA-213): (Signature) J. Martus, AD-241	35b. Date									

FORMS AND REPORTS CHECKLIST/APPROVAL

ii. DESIGN, PRINTING, AND STORAGE (Forms Only)

1. Size <input checked="" type="checkbox"/> 8 1/2 x 11 <input type="checkbox"/> 5 1/2 x 8 1/2 <input type="checkbox"/> Other:		14. Stocked by: <input checked="" type="checkbox"/> OPI <input type="checkbox"/> MA-236 <input type="checkbox"/> Other:					
2. Method of Completion: <input checked="" type="checkbox"/> By Hand <input type="checkbox"/> Typewriter <input type="checkbox"/> Automated Equipment <input type="checkbox"/> Specifications attached		15. Quantity: <input type="checkbox"/> 3-month supply <input checked="" type="checkbox"/> 6-month supply <input type="checkbox"/> 9-month supply <input type="checkbox"/> 1-year supply					
3. <input checked="" type="checkbox"/> Single Sheet <input type="checkbox"/> One Side Only <input checked="" type="checkbox"/> PADS <input type="checkbox"/> Snap Set <input type="checkbox"/> Carbonless Paper <input type="checkbox"/> Carbon Set 1		16. Unit of Wrap: <input type="checkbox"/> 100 <input type="checkbox"/> 250 <input type="checkbox"/> 500 <input checked="" type="checkbox"/> Other: 5 PADS					
4. Head to <input type="checkbox"/> Head <input type="checkbox"/> Foot <input type="checkbox"/> Left of Back <input type="checkbox"/> Right of Back		17. Controlled Forms: <input type="checkbox"/> Accountable <input type="checkbox"/> Safeguard <input type="checkbox"/> Other (attach instructions)					
5. Sheets per Set: _____ Sheets per Pad: 25 Sets per Pad: _____		18. Existing Stock: N/A <input type="checkbox"/> Previous editions may be used (Specify edition dates) <input type="checkbox"/> Use until receipt of new edition only <input type="checkbox"/> Destroy immediately <input type="checkbox"/> Other:					
6. <input type="checkbox"/> Superseded forms (Specify) N/A		19a. Minimum Stock Level: 10 pads 19b. Lead time required for reprint: 4-6 weeks					
7. <input type="checkbox"/> Hole punching required: No. of Holes: _____ Size of Holes: _____ Spacing: _____		20. Type of File to be used: <input type="checkbox"/> Visible <input checked="" type="checkbox"/> Folder <input type="checkbox"/> Notebook <input checked="" type="checkbox"/> Retrieval elements are visible and appropriate for type of file used. <input type="checkbox"/> Vertical <input type="checkbox"/> Ledger <input type="checkbox"/> Other					
8. <input type="checkbox"/> Perforations required: No. of Perforations: _____ <input type="checkbox"/> Horizontal <input type="checkbox"/> Vertical Inches from Top: _____		21. Special Color: Ink: Blue Paper: White 22. Special Weight: Paper: CW40 Carbons: _____					
9. <input checked="" type="checkbox"/> Pre-numbering required: <input type="checkbox"/> Single <input type="checkbox"/> In Duplicate <input checked="" type="checkbox"/> Not Accepted <input type="checkbox"/> Accepted with list Start Number: 0001 End Number: 9999		23. <input checked="" type="checkbox"/> Pre-printed data (Specify) Item 9 only 24. <input type="checkbox"/> Shading (Specify) 25. <input type="checkbox"/> Spot Carbon (Specify)					
10. <input type="checkbox"/> Folds required: Number _____ <input type="checkbox"/> Horizontal <input type="checkbox"/> Vertical Inches from: Top _____ Left _____		26. <input checked="" type="checkbox"/> Spacing on draft is adequate and practical for information desired.					
11. Register: <input type="checkbox"/> All Sheets <input type="checkbox"/> In Sets <input type="checkbox"/> In Pads <input type="checkbox"/> No.: _____ With Form		27. <input checked="" type="checkbox"/> Captions are clear and can be read easily.					
12. <input type="checkbox"/> Color coded copies required. (Specify preferences on attached sheet) Distribution listed: <input type="checkbox"/> Individually on each page (Justify) <input type="checkbox"/> Full distribution indicated on each page		28. <input checked="" type="checkbox"/> Instructions included <input type="checkbox"/> Arranged in 2 columns on attached sheet <input type="checkbox"/> Other					
13. Design Style to be Used: <input checked="" type="checkbox"/> Box design with upper left caption <input type="checkbox"/> Columns <input type="checkbox"/> Narrative <input type="checkbox"/> Ballot Boxes <input checked="" type="checkbox"/> Form No. upper left corner <input checked="" type="checkbox"/> Report Symbol upper right corner <input type="checkbox"/> Line Border <input checked="" type="checkbox"/> Department Designation and Title at the top		29. <input type="checkbox"/> Privacy Act Notice, if required, is included with instructions. N/A 30. <input checked="" type="checkbox"/> Submission information is clear and adequate.					
III. ESTIMATED BURDEN HOUR CALCULATIONS (Reports Only)							
1. *Collection Burden	a. Number of Respondents	b. No. of Responses per Respondent (Frequency)	c. Total Annual Responses (a x b.)			d. Avg. No. of Manhours per Response	e. Estimated Total (c. x d.)
	20	12	240	(1) Development	(2) Collection, Processing, Transmission	(3) Analyzing, Refining, Documenting	1,440
			3	2	1	Total (1) + (2) + (3) 6	
2. Recordkeeping Burden	a. Annual hrs. per recordkeeper		b. No. of Recordkeepers		c. Recordkeeping Retention Period		d. Estimated Total (a. x b.)
	Filing time - 1/4 hr. x 12 (yrly. responses) = 3 hrs.		20 (respondents)		2 yrs.		60
3. Forms (Report Forms only)	a. Analysis and Design (Estimated Burden Hours)				b. Printing, Composition, and Distribution (Estimated Annual Cost)		
	Analysis = 20		Design = 5		Printing = \$150 Composition = N/A Distribution = Included in printing cost.		
Remarks:					* <input type="checkbox"/> Sampling was used to obtain this information		

CHAPTER II

PROCEDURES FOR APPROVAL, EXCEPTIONS, AND CANCELLATION

1. STANDARD AND OPTIONAL FORMS.

- a. Standard and Optional Forms are approved by GSA, prescribed for use in the Federal Government, and do not require additional Departmental approval.
- b. Changes to content or format of Standard and Optional Forms shall not be made without approval from GSA.
- c. Requests for exceptions and adoption of new Standard and Optional Forms shall be submitted, through AD-25, to AD-24 for coordination of approval by GSA. Each request shall include a copy of the proposed form; justification for the new form or exception; a completed SF-152, "Request for Clearance, Procurement, and/or Cancellation of Standard and Optional Forms;" and a copy of the directive prescribing its use.

2. OTHER FEDERAL AGENCY FORMS.

- a. The use of other Federal agency forms within the Department shall be approved by AD-24.
- b. Requests to use another agency's form(s) shall be coordinated, in writing by the originating Forms Manager, with all DOE organizations having a programmatic interest in the form.
- c. Request for approval, a justification, and concurrence(s) shall be forwarded, in writing from the originating Forms Manager, through AD-25, to AD-24.
- d. After approval by AD-24, the form shall be included in DOE 1322.3C, and may be obtained through the Director of Logistics Management (AD-64) using standard requisitioning procedures (see Chapter III.)

3. DEPARTMENTAL FORMS.

- a. AD-25, in conjunction with the Forms Manager and the form originator, shall perform analysis on each proposed Departmental Form, form revision, and related procedures (as described in Chapter I).
- b. A DOE F 1322.4, proposed design, and regulation or directive prescribing use of the form shall be forwarded, through AD-25, to AD-24 for approval. AD-24 shall evaluate and approve the form content, and coordinate with other officials, as appropriate (e.g., Records Managers.)

- c. Approved form shall be returned to AD-25 for assignment of a sequential form number; coordination of final design, including development of programming specifications for an electronic form; and inclusion into DOE 1322.3C and/or the electronic forms library.
 - d. AD-25 shall forward to designated Forms Managers a copy of the form(s) and programming specifications such as field name, length, and description.
 - e. AD-25 shall return the approved package to the originating Forms Manager for coordination of printing (if appropriate) and implementation.
4. EXCEPTIONS. Forms that will be used one time, and are not considered to be Report Forms, do not require approval or form numbers. However, Forms Managers shall ensure that there is a legitimate need for the form before printing.
 5. OMB/GSA. OMB and/or GSA clearance of reporting requirements shall be obtained by AD-24 or the Director of Data Collection Services (EI-73). Refer to appropriate directives on Reports management for further details on the clearance process. Forms Managers may contact AD-24 for assistance in determining whether a clearance is required.
 6. CANCELLATION. When a Departmental Form is no longer being used, the responsible Forms Manager shall forward a completed DOE F 1332.4 to AD-24, through AD-25, indicating the reason for cancellation.

CHAPTER III

PRINTING AND REQUISITIONING

1. PRINTING.

a. Departmental Forms.

(1,) To ensure distribution of current form editions, all supplies of Departmental Forms shall be printed through the Director, Printing and Graphics, AD-63.

(2) Printing services shall be allowed a minimum of 2 weeks for one page forms and up to 8 weeks for more complex or specialty forms. Exceptions shall be negotiated with AD-63.

(3) Reprints of Departmental Forms shall be coordinated with the form originator, through the appropriate Forms Manager.

b. All Other Forms. Departmental Elements shall use procedures as prescribed by regulation to obtain printing services. Exceptions shall be negotiated with AD-63.

2. REQUISITIONING. Forms that are not assigned form numbers in accordance with Chapter I are not authorized for use by the Department and are therefore unavailable for distribution. Field Offices shall refer to DOE 1322.3C when ordering Departmental and other Federal agency forms.

a. Field Elements shall use DOE F 4250.2, "Request for Supplies, Equipment, or Services," when ordering paper forms, and include the form number, title, and the quantity requested for each order. At least a 3-month and not more than a 6-month supply of forms may be ordered on one requisition. A self-addressed mailing label shall accompany each order.

(1) Where AD-64 is the source of supply, forward a completed DOE F 4250.2 and mailing label to:

U.S. Department of Energy
Director of Logistics Management (AD-64)
Washington, DC 20585

(2) Where the source of supply is an office other than AD-64, forward a completed DOE F 4250.2 and mailing label directly to the office listed. Mailing addresses can be obtained from the DOE telephone directory.

b. Use DOE F 1322.4 to order Standard and Optional Forms from Headquarters only when they cannot be obtained from the regular GSA supply sources (e.g., forms stocked by the Office of Personnel Management).

