



UNITED STATES
DEPARTMENT OF THE INTERIOR
BUREAU OF LAND MANAGEMENT

MANUAL TRANSMITTAL SHEET

Release
1-1574
Date
1/8/90

Subject

1222 - REPORTS MANAGEMENT

1. Explanation of Material Transmitted: This release updates and revises the instructions and procedures for management of the Reports Management Program.
2. Reports Required: None.
3. Material Superseded: The Manual Section superseded by this release is listed under "REMOVE" below. No other directives are superseded.
4. Filing Instructions: File as directed below.

REMOVE:

All of 1222
(Rels. 1-519, 1-334, 1-390,
1-508)
(Total: 33 Sheets)

INSERT:

All of 1222
(Total: 10 Sheets)

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1222 - REPORTS MANAGEMENT

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.01 Purpose. To establish and maintain a reports management system for approved recurring reports prepared by the Bureau.

.02 Objectives. To provide managers with a simple, economical, and systematic method of keeping reporting requirements to a minimum, yet still meet the requirements imposed within the Bureau, and by other agencies (e.g. Department of the Interior, OMB, GSA, Congress, etc.). Specific objectives are to:

- A. Provide officials with timely information in a clear, useful format.
- B. Avoid the imposition of invalid, inefficient, or unnecessary reporting requirements.
- C. Establish and maintain a recurring reports inventory and a control system for the promulgation, use, and cancellation of Bureau reporting requirements.
- D. Establish procedures for evaluating and making changes such as additions, deletions and revisions to the existing reports and reporting requirements.
- E. Subject reports and reporting systems to a continuous, objective review for quality, efficiency and economy of reporting.
- F. Determine where automation is cost effective and feasible in meeting recurring information needs and include this provision when creating new program data bases.

.03 Authority.

- A. Federal Records Act of 1950, 44 U.S.C. 3102 requires all agencies to efficiently manage all records.
- B. Federal Information Resource Management Regulation (41 CFR 201-45.103, Reports Management - Agency Responsibilities) prescribes standards, procedures, and techniques for managing reports.
- C. Federal Information Resource Management Regulation (41 CFR 201-45.6, Interagency Reports Management Program) states procedures for seeking approval of interagency reports.
- D. Departmental Manual (381 DM 6-10) on Reports Management Program provides standards for control, evaluation, and improvement of reports.

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.04 Responsibility.

A. The Director and the Deputy Directors, are responsible for the overall management of information needs of the Bureau and for making final decisions about the content of reports involving issues which affect the responsibilities of more than one Assistant Director.

B. Assistant Directors are responsible for:

1. Assuring that the reporting standards and administrative requirements are implemented within their assigned program areas.

2. Establishing the minimum reporting requirements needed to conduct Bureau business.

3. Approving all changes to the Bureau's reporting requirements through the directives system.

4. Ensuring efficiency and use of automation tools to meet the Bureau's reporting requirements.

C. The Assistant Director, Support Services is responsible for developing, maintaining and evaluating the Bureau's reports management program.

D. Chief, Division of Information Resources Management, through the Chief, Branch of Records and Information Security is responsible for management of the Bureau's reports program, including:

1. Developing and implementing a reports control system.

2. Surnaming all new Bureau initiated reports and changes to existing reporting requirements.

3. Establishing administrative standards and requirements for preparation, submission, and approval of Bureau reports.

4. Providing guidance for effective and efficient reporting systems.

5. Establishing, maintaining, and publishing a Bureauwide Recurring Reports Inventory.

6. Evaluating the reports management program and providing feedback and recommendations to management for improvement.

7. Including reports management evaluations as a component in the periodic Information Resources Management Reviews.

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E. Program Officials are responsible for:

1. Determining Bureau reports needed and developing guidance for each report.
2. Being sensitive to and considering the impact of the burden of reporting requirements.
3. Reviewing each report every 3 years to determine if the report is still needed.
4. Evaluating the efficiency of reporting systems and making changes when necessary.
5. Considering current and future reporting needs when establishing new program data bases and incorporating collection fields into data bases.
6. Ensuring efficiency and use of automation tools to meet reporting requirements.
7. Ensuring adherence to GSA requirements for interagency reports as prescribed in 41 CFR 201-45.6.
8. Obtaining approval from the appropriate Assistant Director, through the Directives System, before initiating and implementing new reporting requirements.
9. Maintaining a case file on each current recurring report within their program responsibility.

F. State Directors, Service Center Director, and BLM Director-Boise Interagency Fire Center (BIFC) are responsible for:

1. Responding to information requirements imposed by the Director for management of the internal reports program for their State or Office.
2. Recommending efficiency improvements to the Washington Office and identifying reporting information within their jurisdiction that could be improved through automation.
3. Coordinating reports initiated by their office through the counterpart WO before submission to the AD for approval.
4. Developing any subsidiary reporting systems needed for their organizations, using the basic requirements of this Manual.

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G. Field Offices are responsible for local implementation of the reports management program.

H. Data Administrators and Records Managers are responsible for ensuring that reports data is integrated into Data Management activities and Bureau data bases.

.05 References.

A. Reports Management, Information Resources Management Handbook. Office of Information Resources Management, United States General Services Administration, 1985 (FEDSTRIP System - Stock No. 7610-01-195-9767).

B. Directives Manual 1221.

C. Paperwork Management Manual 1220.

D. Records Disposition 1272.

.06 Policy. It is Bureau policy to reduce reporting requirements to the minimum needed to conduct Bureau business or meet external mandates. Reports should be integrated into normal operations and periodically reviewed for effectiveness and necessity. Critical management review will be conducted for all proposed and existing reports to ensure that only required information is conveyed in a timely, efficient and economical manner. Individuals at all levels are encouraged to actively participate in evaluating their reporting requirements and making recommendations for improvement whenever possible. Management shall ensure that automation and reports consolidation will be used to the greatest extent feasible. Manual compilation by Field Offices of data should be required only when all other potential sources of data have been exhausted.

.07 File and Records Maintenance. See Sections .14 and .33 for documentation requirements. See the Bureau Records Schedule 16, Item 6 for proper disposition instructions for reports control files.

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.1 Reports Management Program Requirements. An effective reports management program includes procedures for approving and controlling reports to ensure need and effectiveness, a reports inventory which identifies and establishes a record of recurring reports, and appropriate report files and documentation for reports and information requirements analysis and evaluation. Reports subject to reports control include recurring internal, intra-agency, interagency, and Congressional reports. Public reporting requirements required by the Paper Reduction Action are covered by the Information Collections Program Section in BLM Manual 1223. Offices directed to provide information to these reports are responsible for keeping track of their reporting requirements. The use of informal means or the Electronic Mail System (EMS) is encouraged for sending reminders for reports that have already been approved or listed on the reports inventory.

.11 Reports Criteria. Reports used in support of the following activities are subject to reports management control:

- A. Establishing and maintaining policies, plans, goals, and objectives.
- B. Evaluating programs, operations, and accomplishments.
- C. Allocating or tracking resources.
- D. Conducting special studies.
- E. Satisfying externally imposed requirements.

.12 As Occurs Reports. Reports prepared in response to a particular occurrence or incident, i.e. Accident Reports or Fire Reports are outside the scope of this manual and will not be placed on the Reports Inventory. These reports will be prepared and managed in accordance with their respective program manuals.

.13 Reports Inventory. The purpose of the reports inventory is to identify and compile a record of existing recurring reports. The inventory is the basic tool of reports management. It facilitates both reports control and reports analysis. Appendix 1 lists all Bureauwide approved recurring reports required by Congress, the Department, agencies outside the Department, and offices within the Bureau. Included on the inventory is the reports control number, the title of the report, office(s) to which the report is submitted, office(s) who prepares the report, frequency and due date(s), the authority for the report, report originator (e.g. A = outside agency, B = Bureau or Internal, C = Congressional, D = Departmental), and any remarks (e.g. type of information, reason for the report, specific instructions, forms required, etc.).

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.14 Reports Recordkeeping. Reports case files are needed for reports control and analysis and are maintained by the Office of Primary Responsibility (OPR). The reports case file contains complete historical documentation for each report. Case files are required for each Bureau initiated report or Departmental or Congressional report where the Bureau is the Office of Primary Responsibility (see 381 DM 8 and 9). A case file should be established for each new report and maintained until the reporting requirement is officially discontinued. The case file is controlled by the Subject Code 1222 (for Reports Management) and is filed numerically by Report Number.

.15 Periodic Reports Evaluation. The objectives of the periodic evaluation are to monitor compliance with OMB, GSA, Department, and Bureau standards and procedures, to measure overall effectiveness of program objectives, and to reduce the burden on Washington and Field Offices. Optimal methods for reducing the burden include reducing frequency, automating, consolidating reports and eliminating unnecessary or invalid reports. All Bureau reports shall be reviewed every 3 years to assess the value of internal required reports and ensure that the most efficient methods are being used to collect data.

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.2 Initiating New Reports or Changing Existing Requirements. Procedures for initiating new reports, changing existing reporting requirements, and discontinuing reports are outlined in .21 through .23.

.21 Information Requirements Analysis. An information requirements analysis (Illustration 1, Report Evaluation Checklist) shall be used by Program Officials for both initial and periodic review and evaluation of reporting requirements. This checklist can be copied and must accompany all proposals to initiate new reports or increase existing reporting requirements. During this evaluation process, program offices should coordinate with organizational units having an interest in the information requested and with those that are required to respond.

.22 Information Required. Information needed for initiating new reports is provided in Illustration 2. Types of information required to change existing reporting requirements are shown in Illustration 3. Approved changes in reporting requirements should be incorporated into the respective Bureau program manual as soon as possible. All future documentation referring to a report shall identify the reports control number and name of the report. Reporting instructions must be specific and easy to understand. Specify exactly what information is required and the period to be covered. Identify whether paper copies or magnetic disks should be sent by mail, or whether the response should be sent by the EMS. Indicate if negative reports are required. Complex reporting requirements should be accompanied by a completed example on the required form or format to ensure uniformity in reporting.

.23 Steps in the Approval Process.

A. Obtaining Approval. All proposals to initiate new reports or to change existing reporting requirements must go through the Directives System. Each proposal will be surnamed by the Chief, Branch of Records and Information Security before being approved by the appropriate Assistant Director. Proposed Bureauwide recurring reports initiated by the Service Center or BIFC must be coordinated through the counterpart WO Program Office before submission to the Assistant Director for approval. Field Offices should develop their own approval procedures for any local reports following the basic guidance in this manual.

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B. Report Control Procedures. All Bureauwide reporting requirements are subject to reports control procedures. The Chief, Branch of Records and Information Security shall assign a reports control number to all Congressional, Departmental, and Internal approved reports and add recurring reports to the inventory. This number shall be reflected in all subsequent documentation, correspondence, etc., related to the approved report.

1. Reports Control Number. The number has the following components.

- Example: R-4130-02
- "R" indicates the number refers to a report -----↑
 - BLM Subject Code for the subject of the report -----↑
(4 digits)
 - Sequential number of the report for this subject function code -----↑
(2 digits)

2. Local Reports Control Number. Field Records Managers shall assign control numbers for their local reports inventory in a similar manner, but must include their office designation so as not to confuse local report numbers with Bureauwide report numbers. Examples are: R-OR-4130-02 (for a Statewide report), R-OR130-4130-02 (for a Districtwide report). This numbering sequence is similar to the forms management numbering sequence.

C. Discontinuing a Report. All reports used solely to respond to Congressional, Departmental, and Interagency requirements should be discontinued as soon as the external requirement is no longer mandated. Managers shall also ensure that Bureau-only required reports are discontinued as soon as the information is no longer needed to conduct business. Reports shall be discontinued through the Temporary Directives System. Information needed to discontinue a report includes the reports control number, the report title, and the date and reasons for its discontinuance. The Chief, Branch of Records and Information Security shall surname all directives discontinuing a report. After approval is obtained for discontinuing the report, all references to the requirement will be removed from the respective manuals or permanent directives and recurring reports inventory. Once a report is discontinued, offices who previously provided input will no longer be required to do so.

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.3 Reports Maintenance. All approved recurring reporting requirements shall be incorporated into the permanent Directives System (BLM Manual) as soon as possible. Each office is responsible for tracking their requirements. Once a recurring report is approved or listed on the reports inventory, it is not necessary to further request data through the Bureau's Directives System. However, if a reminder is used it should include the reports control number and the title as it is listed in the original directive or inventory.

.31 Reports Inventory. The Chief, Branch of Records and Information Security will update the Reports Inventory based on current directives that either add reports, change existing reporting requirements, or discontinue reports. The updated inventory will be distributed annually to all BLM Records Managers for use in planning report submissions during the fiscal year. This inventory is maintained in D-Base III and available in that format upon request.

.32 Reports Tracking. To ensure timely preparation and submission of recurring reports, each office with reporting responsibilities should prepare and maintain a calendar of reports for reference. Calendars should be prepared in a format most useful to that office.

.33 Case File Management and Content. These files are created, maintained and disposed of by the OPR or the originating WO Program Office responsible for initiating an internal report. Field Office Records Managers must create, maintain and dispose of these case files only for locally originated reports. See General Records Schedule 16, Item 6 for approved retention of report case files. These case files will be filed under Subject Code 1222, Reports Management. Report submissions are not filed in report case files, but are maintained by the subject code of the reported information and are disposed of according to the Bureau Records Schedule. Each report case file shall contain the following documentation:

- A. A copy of the original statute, regulation, Department directive, or Bureau directive, that established the report (including preparation instructions and required forms or formats).
- B. A copy of the approval memorandum for Bureau initiated reports and approved changes to reporting requirement.
- C. A copy of a completed Reports Evaluation (Illustration 1) for both newly initiated reports and evaluations of existing requirements.
- D. Any analysis, worksheet, correspondence, and other documents relating to the report including documentation on the discontinuance of reporting requirements.

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Glossary of Terms

-A-

as occurs report - a report prepared in response to a particular occurrence, i.e., Accident Report, Fire Reports. A compilation of these reports may be required by a higher organizational level monthly, quarterly, or annually. A compilation of these reports may result in a recurring report required in a regular time period. If so, this report will be listed on the recurring reports inventory (Appendix 1).

-B-

bureauwide report - refers only to those reports initiated by BLM Washington Program Offices, the Service Center, BIFC, Congress, another agency, or the Department.

-C-

congressional report - a report required by statute or by a Congressional committee, or requested by a member of Congress. Usually sent through the Department.

-D-

departmental report - a report required by the Department of the Interior.

-I-

interagency report - a report sent to a Federal agency outside the Department of the Interior. Usually sent through the Department for consolidation into a Departmentwide report.

internal report - a report that is initiated, prepared and used within the Bureau.

intraagency report - a report sent from one Bureau to another Bureau within the Department.

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-O-

one-time report - a report prepared in response to a specific request or requirement for information on a one-time only basis. These reports are requested through the Bureau's Directive System. The directive is automatically cancelled upon submission of report.

OPR - Office of Primary Responsibility is the Program Office who has the lead responsibility for the report.

-R-

recurring report - a report that requires specific data, generally statistical, to be collected and submitted on a predetermined schedule, such as annually, quarterly, monthly, etc. (See Appendix 1 for list of approved BLM recurring reports.)

report - data or information collected, assembled and furnished from one office to another for use in determining policy; planning, controlling, land evaluation operations and performance; making administrative determinations; or preparing other reports. The data or information may be in narrative, statistical, graphic, or any other form and may be displayed on paper, magnetic tape or disks, or other media. It may be assembled and furnished by one Bureau office to another, to the Department of the Interior, or to another agency. Documents such as requisitions, purchase orders, etc., are not classified as reports.

reports control number - an alphanumeric identification number assigned by the office responsible for reports control to a report that has been approved. In the WO it is assigned by the Chief, Branch of Records and Information Security. In the field it is assigned by the local Records Manager. (Also known as Report Number, Reports Symbol, or Reports Management Symbol.)

reports management - an organized and continuous effort to control and improve the quality and economy of reporting.

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Reports Evaluation Checklist

UNITED STATES
DEPARTMENT OF THE INTERIOR
BUREAU OF LAND MANAGEMENT

REPORTS EVALUATION CHECKLIST

Review Date

Report Title

SECTION I—DETERMINE THE NEED

INSTRUCTIONS: Check either column (b) or (c). If questionable, show changes in column(d) (a)	QUESTION- ABLE (b)	SATISFAC- TORY (c)	PROPOSED CHANGES (Attach Additional Sheets, if Needed) (d)
1. THE REPORT AS A WHOLE. Who uses it? How? What is its purpose? Should it be continued?			
2. USE OF EACH ITEM. Is every item used? Any missing items to be added?			
3. USE OF EACH COPY. Are all copies used to good advantage?			
4. FUNCTIONAL RELATIONSHIP. Is the information within the scope of the office functions?			
5. MISAPPLICATION. Does the report try to solve a problem which should be solved by other means?			
6. STAND-BY DATA. Is the data obtained for "just-in-case" use?			
7. ANOTHER AVAILABLE SOURCE. Is the data available in another report or office?			
8. BY PRODUCT. Is it possible to get the data by some other process?			
9. DIRECT USE OF RECORDS. Could actual records or "last copy" of record be used instead of a report?			
10. SAMPLING. Would a sampling of a few offices give reliable data?			
11. EXCEPTION REPORTING. Would it be appropriate to report conditions only when other than normal?			
12. COMBINATION. Could this report be combined with another report?			
13. NON-RELATED MATERIAL. Are non-related subjects included in the same report?			
14. ADEQUACY AND SUITABILITY. Is scope or content tailored to meet needs?			
15. VALUE VS. COST. Is the report worth its cost?			

SECTION 2—VERIFY THE TIMING

16. REPORTING PERIODS. Are reporting periods properly stated?			
17. FREQUENCY. Is the present frequency suitable, excessive, or inadequate?			
18. DUE DATE. Is the due date specifically stated?			
19. PREPARING OFFICE WORKLOAD. Has this been considered? Can due dates be changed to avoid peak workloads?			

(Continued on reverse)

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Reports Evaluation Checklist

Report Title

SECTION 3—REVIEW STYLE OF PRESENTATION

INSTRUCTIONS: Check either column (b) or (c). If questionable, show changes in column(d) (a)	QUESTION- ABLE (b)	SATISFAC- TORY (c)	PROPOSED CHANGES (Attach Additional Sheets, if Needed) (d)
20. REPORT TITLE. Is it the same as, or listed in the directive?			
21. PURPOSE OF REPORT. Is it clearly stated?			
22. REPORTING INSTRUCTIONS. Are reporting instructions clear and adequate?			
23. INTEGRATED REPORTING. Are data needs of other levels included?			
24. FEEDER REPORTS. Are procedures for leader reports provided to assure uniformity and simplicity?			
25. REPORTING UNITS. Are reporting units shown? Are there too many, too few?			
26. NEGATIVE REPORTS. Are negative reports required? What use is made of them?			
27. NUMBER OF COPIES. Are number of copies specified?			
28. ROUTING. Are correct mailing addresses given?			
29. NARRATIVE OR FORM. Is the best format for this report used?			
30. ARRANGEMENT AND SIZE. Are items sequenced according to user need? Is spacing adequate? Are item captions clear? Is size adequate and practical?			
31. STANDARDIZATION. Do all offices use the same forms or format?			
32. SUMMARY INFORMATION. Would a summary of information rather than statistics or a narrative be better?			
33. CUMULATIVE DATA. Can data be maintained on a cumulative basis to eliminate last-minute workloads?			
34. COMPARISONS. Are comparisons made against goals, past performance, or current performance of others?			
35. GRAPHICS. Are graphics used to good advantage?			
36. AUTHENTICATION. Are verifying or approving officials' signatures used only when necessary?			
37. DATA SOURCES. Are records from which reports are to be prepared identified?			
38. ARRANGEMENT OF RECORDS. Should records be rearranged to simplify reporting?			
39. REPORT SYMBOL. Is it shown after title of report?			
40. STYLE OF PRESENTATION. Does the overall report provide clarity and simplicity?			

Example of Reports Approval Process

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF LAND MANAGEMENT
WASHINGTON, D.C. 20240In Reply
Refer To:
1222 (001)/1400-432

Date

Instruction Memorandum No.
Expires 9/30/91

To: SDs, SCD, BLM D-BIFC

From: Director

Subject: Requirement for a New Recurring Report DD:

Somnolence on the job has become a nation-wide epidemic, particularly in the public sector. In order to comprehend the magnitude and severity of the problem within BLM, each addressee will be responsible for compiling all rates of incidence within their jurisdiction. Because this is a report of a recurring nature, it will be added to the Bureau's Reports Inventory for future management of the report. Information to be maintained in the Report Inventory includes:

REPORT TITLE: Report of Somnolence in Personnel While on Official Duty.

SUBJECT/FUNCTION CODE of Report Material: 1400-432

PREPARED BY: SDs, SCD, BIFC

SUBMIT TO: WO(700)

FREQUENCY/DUE DATE: Annually, October 30

AUTHORITY: 5 CFR 432

REMARKS: Inventory of people sleeping on the job to amuse and be used by bored employees.

REQUIRED DATA/SPECIAL INSTRUCTIONS: Sleeper's name, date of and time of incident, reason for incident, and whether the person snored. Maintain data in DBase III and prepare summary report to include total number of incidents and percent of incidents occurring before noon and total number and percent of incidents occurring after noon, and the percent of those who snored.

2 Attachments

- 1 - Reports Evaluation Checklist (pp)
- 2 - Report Format (pp)

Example of Changing Existing Requirement

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF LAND MANAGEMENT
WASHINGTON, D.C. 20240

In Reply
Refer To:
1222 (001)/1400-432

Instruction Memorandum No.
Expires 9/30/91

To: Appropriate BLM Officials

From: Director

Subject: Change in Existing Reporting Requirement DD:

A need for change(s) to the following report has been identified.

Report Title:

Current Control Number:

Changes and justification/reason for change(s) are as follows:

- a. Current Frequency:
New Frequency:
Justification:
- b. Current Due Date:
New Due Date:
Justification:
- c. Changes in method of collection.