

OGC Has Reviewed

SAMPLE OFFICE REGULATION FOR OPERATING
A REPORTS MANAGEMENT PROGRAM

REPORTS MANAGEMENT

Rescission: ABC Office Notice No. 00

CONTENTS

| | <u>Page</u> | | <u>Page</u> |
|---------------|-------------|-----------------------|-------------|
| PURPOSE..... | 1 | DEFINITIONS..... | 3 |
| SCOPE..... | 1 | RESPONSIBILITIES..... | 4 |
| POLICIES..... | 2 | PROCEDURES..... | 5 |

1. PURPOSE

This Regulation establishes requirements for a continuing Office-wide Reports Management Program designed to:

- a. Eliminate and prevent unnecessary reporting.
- b. Insure that instructions, forms, and procedures for necessary reporting are clear and complete, and provide simple, direct, reporting methods.
- c. Improve the quality of reports.
- d. Provide central reference points for information on reports.

In brief, our objective is fewer reports, better reports, at less cost.

2. SCOPE

With the exception of those reports and documents listed in Enclosure 1, the Program includes all recurring administrative or management reports which ABC Office components either require from, or prepare for:

- a. Other Headquarters components, including those in the ABC Office.
- b. Any continental or overseas field activity.
- c. Any organization (Federal or private) outside the Agency.

Emphasis is thus placed on managing recurring administrative or management reports. However, this does not exclude applying

MORI/CDF

reports management principles to one-time reports, or those which provide for the collection, production, or dissemination of intelligence.

3. POLICIES

- a. Report Directives. Requirements for reports shall be stated in clear and complete written directives rather than orally.
- b. Essentiality. Reports shall be required only to collect essential information, as distinct from that which is merely interesting or informative.
- c. Duration and Frequency. Reporting requirements shall be continued only as long and submitted only as frequently as circumstances dictate.
- d. Consolidation. Related reports in the same subject matter area shall be consolidated wherever possible.
- e. Summarization. Reports shall be summary in nature insofar as practicable, and devoid of unnecessary detail.
- f. Economical Procedures. Reporting procedures shall be as simple and direct as possible. Existing basic records shall be employed as sources to the fullest extent. Methods of preparing and transmitting reports shall be the most economical consistent with the end use of the required information. Reports that are self-identifying shall be forwarded without transmittal correspondence.
- g. Creation Control. The following controls over the creation of reporting requirements shall be maintained:
 - (1) Proposed reporting requirements shall be reviewed and approved by a Reports Control Authority.
 - (2) Each new or revised requirement for a recurring report shall be reappraised within three months after submission of the first report.
 - (3) Each reporting requirement initiated by an ABC Office component and not exempted from the Program shall be assigned a reports control symbol. Such a symbol will identify a requirement and indicate to activities or offices which are to prepare the report that the requirement has been approved by appropriate authority. A reporting requirement exempted from the Program shall be so identified in the report directive. Reports

control symbols shall be cited in report directives and in reports submitted accordingly. Personnel receiving a report directive which does not cite a reports control symbol or an exemption clause shall refer the matter to their Reports Control Authority.

- h. Periodic Review. Each requirement for a recurring report which an ABC Office component has established, and each similar requirement placed upon an ABC Office component, shall be reappraised at least annually. The need for required reports shall be fully justified. Prepared reports shall be analyzed with a view to improving preparation procedures, and recommending to requiring offices ways to reduce or simplify reporting.

4. DEFINITIONS

- a. Report. An account or statement of information in written narrative, tabular, punch card, or graphic form, and transmitted from one organizational element to another on a one time or recurring basis.
- b. Administrative or Management Report. As distinguished from an operational or intelligence report, it is a report that provides for administrative or management control over an activity or operation.
- c. Recurring Report. Either a periodic report which conveys essentially the same type of information at prescribed intervals (daily, weekly, monthly, etc.) or a situation report which is prepared on each occurrence of an event of certain prescribed characteristics.
- d. Required Report (Incoming Report). A report which a component requires from one or more other elements. The report is an incoming report to the office which requires it.
- e. Prepared Report (Outgoing Report). A report which a component prepares at the request of another element. The report is an outgoing report from the office which prepares it.
- f. Reports Control Authority. An official responsible for reviewing and approving ABC Office reporting requirements and assigning reports control symbols thereto. Reports control authority is assigned to:
 - (1) The ABC Office Area Records Officer who has jurisdiction over:
 - (a) Reports required from, or submitted to, Agency components outside the ABC Office.

- (b) Reports submitted from one ABC staff or division to another.
- (2) Division and Staff Chiefs or their designees who have jurisdiction over reports submitted solely within their respective components.
- g. Reports Control Symbol. A symbol of identification and approval assigned to a reporting requirement by a Reports Control Authority. A reports control symbol is composed of the organizational symbol of the component which requires the report, the abbreviation "rep" for "report," and the numerical designation of the reporting requirement.

Numerical designations are assigned in consecutive order as reporting requirements are reviewed and approved by a Reports Control Authority. Numerical designations for intra division or staff reporting requirements are enclosed in parentheses--e.g., ABC/PD-Rep-(1). Designations for inter division or staff reporting requirements, and those placed upon Agency components outside the ABC Office, are not so enclosed--e.g., ABC/PD-Rep-1.

5. RESPONSIBILITIES

- a. The Chief, Administrative Staff, in collaboration with the ABC Office Area Records Officer, shall:
 - (1) Direct and coordinate the overall Program by providing staff guidance and all basic plans, policies, and procedures.
 - (2) Review and approve reporting requirements under jurisdiction of the Area Records Officer, and recommend ways to eliminate, simplify, or otherwise improve reports. Recommendations which cannot be resolved between the Chief, Administrative Staff and chiefs of other components shall be referred to the Chief of ABC.
 - (3) Conduct studies and reappraisals, maintain records, publish lists of reporting requirements, and submit reports in accordance with this Regulation and the "ABC Office Reports Management Program Guide."
 - (4) Maintain liaison with the Management Staff, Reports and Correspondence Management Branch, for staff guidance and participation in the Agency Reports Management Program.

- b. Division and Staff Chiefs or their designees shall review and approve reporting requirements under their jurisdiction, conduct studies and reappraisals, and perform such other Reports Control Authority functions as necessary to meet the requirements of this Regulation and the "ABC Office Reports Management Program Guide."

6. PROCEDURES

- a. Request for Approval of a New or Revised Reporting Requirement. All new or revised reporting requirements originated within the ABC Office shall be submitted to the appropriate Reports Control Authority for approval prior to being established. Originators shall submit the following material through channels:
 - (1) An original and one copy of Form No. 142 (Enclosure 2).
 - (2) An original and one copy (in draft form) of the proposed report directive, including all forms, instructions, and procedures proposed to be issued.
 - (3) Any additional supporting material that will assist approving officials with their review.
- b. Transmitting Copies of Report Directives to Reports Control Authorities. Immediately upon issuing a directive which initiates, revises or rescinds a reporting requirement, the originator shall forward a copy of the directive and all supporting material to his Reports Control Authority.
- c. Discontinuing Reporting Requirements. The appropriate Reports Control Authority shall be notified immediately upon the discontinuance of a reporting requirement.
- d. Requests for Reports Received from Components Outside the ABC Office. All requests received directly from components outside the ABC Office shall be brought to the attention of the Chief, Administrative Staff.

U. R. WRIGHT
Chief of ABC

Enclosures:

- 1. Types of Reports and Documents Exempted from the ABC Office Reports Management Program
- 2. Form No. 142, Request for Approval of a New or Revised Reporting Requirement

TYPES OF REPORTS AND DOCUMENTS EXEMPTED FROM THE
ABC OFFICE REPORTS MANAGEMENT PROGRAM

1. Reports providing for the collection, production, and dissemination of intelligence.
2. Reports of inspection prepared by inspectors general.
3. Official reports of audit, survey, or investigation by administrative bodies appointed for that purpose.
4. Formal reports of official proceedings of formally constituted judicial or administrative bodies appointed for that purpose.
5. Formal reports of findings, recommendations, or actions prepared by special committees or boards appointed to inquire into and report on a particular matter. However, recurring reports initiated by such committees or boards to obtain data required for their work are not exempt under this provision.
6. Comments and/or concurrences as part of routine clearance of proposed actions, requisitions, or publications.
7. One-time recommendations, suggestions, or evaluations as to plans, policies, or procedures, and official employee or beneficial suggestions.
8. Replies to requests for suggested agenda for meetings.
9. Agency budget requirements:
 - a. The annual budget estimate or request for funds required by law. This exemption does not include periodic collections of data used to develop or supplement budget estimates or fund requests.
 - b. Reports upon apportionment and allocation of appropriated funds.

ENCLOSURE 1

TYPES OF REPORTS AND DOCUMENTS EXEMPTED FROM THE
ABC OFFICE REPORTS MANAGEMENT PROGRAM (CONTINUED)

10. The following operating documents:

| | |
|--|--------------------------------|
| Affidavits | Identification |
| Agreements | Leases |
| Announcements | Liens |
| Applications or requests | Oaths of office |
| Authorizations | Payrolls |
| Bids | Permits |
| Bills | Performance bonds |
| Bills of lading | Receipts |
| Certifications | Receiving-and-inspection forms |
| Claims | Requisitions |
| Contracts and initial allied papers | Sales slips |
| Depositions | Shipping orders |
| Guarantees | Specifications |
| | Statements of witnesses |

This exemption covers only the actual operating documents themselves. Reports concerning progress in preparing, numbers processed, etc., are not exempt.

REQUEST FOR APPROVAL OF A NEW OR REVISED REPORTING REQUIREMENT

| | |
|----------|------------------------|
| TO: | DATE REQUEST SUBMITTED |
| THROUGH: | |

1. TITLE OF REPORT

| | |
|----------------------------------|--|
| 2. CHECK WHICH | 3. IF REVISED, INDICATE NATURE OF REVISION |
| <input type="checkbox"/> NEW | |
| <input type="checkbox"/> REVISED | |

| | |
|---|---|
| 4. LIST ANY REPORTS TO BE SUPERSEDED BY THIS NEW OR REVISED REPORTING REQUIREMENT | 5. PROPOSED DURATION OF REPORT <input type="checkbox"/> INDEFINITE <input type="checkbox"/> TEMPORARY (Designate period.) |
|---|---|

6. DIRECTIVES OR AUTHORITY (ORIGINATED BY YOUR ORGANIZATIONAL ELEMENT) REQUIRING THE SUBMISSION OF THIS REPORT

7. OTHER CURRENT DIRECTIVES, AUTHORITIES, OR INSTRUCTIONS AFFECTING THE REPORT

| | | |
|---|------------------------|---------------------------------------|
| 8. REPORT FORMAT (Form no., machine tabulation, memo, etc.) | 9. REPORTING FREQUENCY | 10. DATE REPORT IS DUE IN YOUR OFFICE |
|---|------------------------|---------------------------------------|

11. SUPPORTING MATERIAL REQUIRED TO BE SUBMITTED WITH THE REPORT

| | |
|---|--|
| 12. ACTIVITIES OR COMPONENTS REQUIRED TO SUBMIT THIS REPORT | 13. DISTRIBUTION OF REPORT ORIGINAL: COPIES: |
|---|--|

14. DETAILED NEED FOR AND USE OF THIS REPORT

| | | | | |
|--|------|----------|----------|-------|
| 15. PERSON TO CONTACT REGARDING THIS REPORT: | NAME | BUILDING | ROOM NO. | PHONE |
|--|------|----------|----------|-------|

REVIEW BY CHIEFS OF COMPONENTS

RECOMMENDATIONS

| | | |
|-----------|-------|------|
| SIGNATURE | TITLE | DATE |
|-----------|-------|------|

RECOMMENDATIONS

| | | |
|-----------|-------|------|
| SIGNATURE | TITLE | DATE |
|-----------|-------|------|

| | | |
|--|--------------------------------|------|
| <input checked="" type="checkbox"/> RETURNED, APPROVED <input type="checkbox"/> RETURNED, DISAPPROVED <input type="checkbox"/> COMMENTS ARE ATTACHED | SIGNATURE (Reviewing Official) | DATE |
|--|--------------------------------|------|