



OA P 1340.1

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FAA REPORTS MANAGEMENT HANDBOOK

AN FAA HANDBOOK

FEDERAL AVIATION AGENCY
Washington, D. C.

NOTICE TO HANDBOOK USERS

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1. Check to be sure you have the preceding change - check for gaps in change numbers.
2. Examine transmitted materials, and note new or revised text enclosed in asterisks.
3. Follow instructions in the page control chart in the transmitting notice, for removing and inserting pages.
4. When you need to keep replaced pages, staple them to the change notice that directed their removal. Ordinarily, replaced pages will not be kept, except in master files.
5. Read the transmitting notice carefully; note items requiring immediate action.

PAGE AND PARAGRAPHS NUMBERING. The basic pages and paragraphs of this handbook are numbered in straight sequence. Tables of contents and appendix pages are numbered in straight sequences. When it is necessary to insert new pages or paragraphs, the new pages or paragraphs will be numbered by "dash" numbers. For example, a paragraph (or page) to be inserted between 26 and 27 will be designated as 26-1 and 26-2, etc. In some cases, two dash numbers will be used (e.g., 26-10, 26-11, 26-12, etc.) because of a large number of insertions.

KEEP THIS HANDBOOK UP-TO-DATE. It is extremely important that you keep this handbook up-to-date. Remove and insert pages promptly as prescribed by change notices. No issuing system or distribution action can offset the failure of handbook users to keep their handbooks current.

THE ONLY GOOD HANDBOOK IS AN UP-TO-DATE HANDBOOK

ORDER

FEDERAL AVIATION AGENCY
WASHINGTON, D. C.

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SUBJ: FAA REPORTS MANAGEMENT HANDBOOK

1. PURPOSE. This order establishes the FAA Reports Management System. It transmits the FAA Reports Management Handbook and provides for the implementation of the system.
2. CANCELLATIONS. The following directives are cancelled effective on the date of the issuance of this order:
 - a. MS 1340.1, Coordination and Control of Reports and Reporting Instructions (formerly Office Notice No. 222, CAA).
 - b. MS 1300.1, Procedure for the Clearance of Forms and Statistical Information Requiring Bureau of the Budget Approval (formerly Department of Commerce Administrative Order 201.1).
3. EFFECTIVE DATE. This order is effective February 1, 1963.
4. FAA REPORTS MANAGEMENT CONVERSION PROGRAM.
 - a. All reports now in effect will remain in effect until cancelled.
 - b. Conversion steps will consist of:
 - (1) All new reports or revisions to existing reports will be obtained in accordance with the procedures of the FAA Reports Management Handbook.
 - (2) Reports Management Officers will issue instructions for the compilation of existing recurring reports.
 - (3) Reports Identification Symbols will be assigned to existing recurring reports. Catalogs of FAA Recurring Reports will be published by Reports Management Officers.
 - (4) Existing issuances establishing reports will be annotated to show the reports identification symbol (or Bureau of the Budget approval number) as rapidly as possible but no later than by January 1964. All revisions of published material and instructions establishing reports will be in accordance with the policies of the Reports Management Handbook.

Distribution: Offices and Services,
Regions, Aeronautical Center,
Field Offices and Facilities

Initiated by: MS-32

5. DESIGNATION OF REPORTS MANAGEMENT AND REPORTS CONTROL OFFICERS.

- a. Heads of Offices, Services and Bureau identified in paragraph 11b of the Reports Management Handbook will designate one Reports Control Officer for their organization. Heads of these organizations shall notify the Office of Management Services of such designations within 10 days of the effective date of this order (and advise of changes in such designations when necessary).
- b. The Assistant Administrator for each region and the Manager, Aeronautical Center will designate one Reports Management Officer for their organization. The Office of Management Services will be notified of such designations within 15 days of the effective date of this order (and advised of changes in such designations when necessary).

6. PROGRAM IMPLEMENTATION.

- a. The Assistant Administrator for each region and the Manager, Aeronautical Center will take action to implement the Reports Management System by March 1, 1963. Implementation will require issuing appropriate procedures for clearance of reports and the necessary instructions for compilation of the inventory of recurring reports in accordance with the standards and procedures of the FAA Reports Management Handbook.
- b. The Headquarters FAA Reports Management Officer will issue the necessary instructions for the compilation of Headquarters FAA recurring reports by February 1, 1963.


N. E. Halaby
Administrator

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CHAPTER 1. GENERAL INFORMATION

1. PURPOSE. This handbook establishes uniform Agency-wide policies, standards and guidelines for initiating or discontinuing FAA reports and for meeting report requirements placed upon the Agency by other governmental agencies. These policies and guidelines are established to attain the following objectives:
 - a. Provide for a uniform, well defined flow of reliable information for use by each level of management to carry out Agency functions.
 - b. Insure that all data available to management are used before imposing additional reports.
 - c. Insure that required reports are obtained at a minimum cost.
 - d. Limit reports to those essential for management purposes.

2. INTRODUCTION. Effective management requires a uniform and well defined flow of reliable, timely information upon which policy, planning and operational processes can be based. Establishment of systematic reporting procedures is one primary method of communicating information. Reporting systems in the FAA are not only complex in nature but vary in scope from administrative data to highly technical engineering reports. The cost of compiling, analyzing and using existing FAA reports is considerable and each level of management must cooperatively participate in order to achieve the stated objectives. A uniform reporting system provides a basis for integration of information for use by more than one office and allows all levels of management to make optimum use of such information to gauge performance in major program areas. Integration of information must be based on cooperative development of requirements by offices, services, bureau and regions. Agency-wide distribution of catalogs of approved reports and the establishment of report reference files will provide a basis for determining the kinds and types of information available in the Agency. Additionally, Reports Management Officers and Reports Control Officers will become the focal points for additional knowledge as to the availability of information.

3. GENERAL DESCRIPTION OF THE REPORTS MANAGEMENT SYSTEM.
 - a. The Reports Management System assigns responsibility to the various FAA organizations for developing and operating the Agency reports management program. Provision is made for the designation of Reports Management and Reports Control Officers to carry out the program in accordance with the policies, standards and procedures established in this handbook.

- b. The Reports Management System establishes a general definition and classification of reports and provides for the exclusion of certain types and classes of reports. Policies, standards and procedures are established for clearance and approval of FAA recurring and one-time reports.
- c. Certain report requirements are established by legislation and Bureau of the Budget Circulars. These are identified, explained and the procedures established to insure FAA compliance.
- d. The Reports Management System also provides for catalogs and reference files of approved Agency reports.

4. DEFINITION OF TERMS.

- a. Report. A defined plan (such as an official directive) for the transmission of data or information between two or more offices, services, bureau or regions. The method of processing, preparation, or transmission of the information may be in narrative, tabular, graphic, questionnaire, punchcard, tape, or other form.
 - (1) Recurring Report. Any information submitted at regular intervals or upon the occurrence and recurrence of events with specified characteristics (situation reports).
 - (2) One-Time Report. Information prepared one time only by one or several respondents.
- b. Region Report. A report initiated and established by organizational elements of a region.
- c. Interregion Report. A report required of one or more regions by another region.
- d. Office of the Manager, Aeronautical Center Report. A report initiated and established by organizational elements of the Office of the Manager.
- e. Headquarters FAA Report. A report initiated and established by offices, services or bureau of Agency headquarters.
- f. Other Agency Report. A report required from the FAA by another government agency.
- g. Reports Identification Symbol (RIS). A group of numbers and letters which identifies an approved report and authorizes its initiation and preparation.

- h. Initiating Activity. The organizational element which establishes a report and prescribes the instructions for preparation and submission.
 - i. Respondent or Preparing Activity. Any person, agency, employee or instrumentality of the Federal Government from which a report is requested and made available for use by the Agency or its contractors.
 - j. Federal Reports Act of 1942 (Public Law 831, 77th Congress). The Federal statute requiring Federal agencies to obtain approval of the Bureau of the Budget before imposing reporting and recordkeeping requirements on the public, including industrial organizations, State and local governments.
 - k. Report Plan. Any general or specific requirement for reporting or for establishment or maintenance of records subject to the Federal Reports Act of 1942, which are to be used or made available for use in the collection of information from other than Federal employees.
 - l. Reports Management Officer. The individual in Headquarters FAA, each regional headquarters and Office of the Manager, Aeronautical Center, who has authority to approve and assign reports identification symbols authorizing the collection of information. In the instance of requirements on the public, the Headquarters FAA Reports Management Officer obtains a reports approval number from the Bureau of the Budget.
 - m. Reports Control Officer. The individual in each office, service, bureau or regional organization who reviews, coordinates and forwards requests for FAA recurring reports and who has the authority to approve and assign reports identification symbols to one-time FAA reports.
5. - 10. RESERVED.

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CHAPTER 2. RESPONSIBILITIES AND FUNCTIONS

11. RESPONSIBILITIES.

- a. Office of Management Services. The Office of Management Services is responsible for establishing the policies, standards, guidelines and procedures necessary for the operation of the FAA Reports Management System. This office will designate the Headquarters FAA Reports Management Officer.
- b. Each Office, Service and Bureau in Headquarters FAA. Each office, service and bureau is responsible for determining reporting needs in accordance with existing reporting standards and functional assignments. This includes components of the National Aviation Facilities Experimental Center and those components of the Aeronautical Center for which a Headquarters FAA office or service has functional responsibility. The following offices and services will designate one Reports Control Officer:

Office of Budget
Office of Compliance and Security
Office of Management Services
Office of Personnel and Training
Aircraft Development Service
Airports Service
Aviation Medical Service
Air Traffic Service
Bureau of National Capital Airports
Flight Standards Service
Installation and Materiel Service
International Aviation Service
Systems Maintenance Service
Systems Research and Development Service

The FAA Reports Management Officer will act as the Reports Control Officer for staff offices in Headquarters FAA outside the functional areas designated above.

- c. Each Region. Each region is responsible for the technical control and operation of the Reports Management System in the region in accordance with the standards and guidelines of this handbook. Each regional headquarters will designate one Reports Management Officer. Each region may designate one or more Reports Control Officers.

- d. Office of the Manager, Aeronautical Center. This office is responsible for the technical control and operation of the Reports Management System in its area of functional responsibility. The Manager will designate one Reports Management Officer. He may also designate one or more Reports Control Officers.

12. FUNCTIONS.

- a. Headquarters FAA Reports Management Officer will perform the following:
 - (1) Review the development of principles, policies, and practices to obtain a uniform application of reports management procedures.
 - (2) Review and approve requests for recurring reports submitted by an office, service, or bureau Reports Control Officer.
 - (3) Assure that proper coordination has been effected for all reports and assign reports identification symbols to approved recurring reports.
 - (4) Maintain historical reference files of requests for reports.
 - (5) Provide liaison with the Bureau of the Budget for reports to be levied on the public.
 - (6) Analyze existing reports to stimulate improvements in reporting procedures and methods.
 - (7) Publish the catalog of Headquarters FAA recurring reports which identifies reports cleared by the Bureau of the Budget, and all recurring reports for which the Headquarters FAA Reports Management Officer has assigned a reports identification symbol.
- b. Regional Reports Management Officers will perform the following:
 - (1) Review and approve requests for recurring regional reports submitted by an organizational element of the region.
 - (2) Assure that proper coordination has been effected for all regional reports and assign reports identification symbols to approved recurring regional reports.
 - (3) Maintain historical reference files for regional reports.

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- (4) Refer requests for reports to be levied on the public to the Headquarters FAA Reports Management Officer for clearance with the Bureau of the Budget.
 - (5) Analyze regional reports to stimulate improvements in reporting procedures and methods.
 - (6) Publish the catalog of regional recurring reports which will identify all regional recurring reports for which the Regional Reports Management Officer has assigned a reports identification symbol.
 - (7) Review and obtain coordination from appropriate regional elements on all requests for nonregional reports requiring coordination within the region.
- c. Office of the Manager, Aeronautical Center Reports Management Officer will perform the functions stated for Regional Reports Management Officers as they relate to the functions of the Office of the Manager, Aeronautical Center.
- d. Reports Control Officers in Headquarters FAA, Regions and the Aeronautical Center will perform the following
- (1) Conduct a continuous review of reports in their assigned area of responsibility to insure adherence to the Reports Management System.
 - (2) Advise and assist in developing new or revised reports.
 - (3) Review requests for new or revised recurring reports initiated within their organization, coordinate such requests with other organizations concerned, and forward them to the appropriate Reports Management Officer. Headquarters FAA (or Office of the Manager, Aeronautical Center) reports and procedures requiring coordination with regional offices will be forwarded to the Regional Reports Management Officer.
 - (4) Coordinate within their organization all requests for recurring reports which have been received from Reports Control Officers or from Reports Management Officers.
 - (5) Approve requests for one-time reports within their organization and assign reports identification symbols.

13. - 16. RESERVED.

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CHAPTER 3. REPORTS EXEMPTED FROM REPORTS MANAGEMENT SYSTEM

17. GENERAL. Requests for information between organizational elements of the Agency are not reports unless the data are transmitted in accordance with a defined plan, form or format. In addition, the reports listed below are specifically exempted from the Reports Management System. Any doubt as to whether the transmission of data or information falls within these categories will be resolved by the appropriate Reports Management Officer.
- a. Logs and operating documents such as purchase or travel orders, travel authorizations, applications, requisitions, vouchers, invoices, time-sheets, shipping documents, individual performance ratings or effectiveness reports, individual medical and dental records, classification or qualification forms, individual schooling records, identification forms, announcements, catalogs, supply bulletins, weather observations and forecasts, reports of personnel designated to conduct investigations, progress or status reports for use by supervisors, such as a project report or personnel vacancy report from a branch or division to its service director, and IBM work decks, proof listings or control runs in a data processing unit.
 - b. Official reports of audit including all accumulations, collections and reports by regional audit counterparts for use in audit reviews and reports.
 - c. Reports of personnel audit surveys prepared by specified personnel groups.
 - d. Formal reports of findings, recommendations, or actions prepared by ad hoc committees, survey teams or boards appointed to inquire into and report on a specific matter.
 - e. Recommendations or suggestions for (or on) plans, policies, programs, procedures, or proposed publications.
 - f. Nominations or recommendations of individuals for all types of programs or awards.
 - g. Narrative type reports relating solely to the FAA public affairs program.
 - h. Publications compiled or summarized from existing data which are prepared for general or limited distribution.

- i. Reports required for authorized fund raising campaigns.
 - j. Documentary, scientific or research and development reports on a particular scientific problem or program. However, care must be exercised to insure compliance with the Federal Reports Act of 1942 whenever such reports require compilation of information from the public. (See chapter 5.)
 - k. One-time reports requested from other Federal agencies by FAA offices, services, bureau or regional offices.
18. OTHER AGENCY REPORTS. Reports requested by other government agencies, including State and local governments, will be complied with on the basis of FAA policy on the subject matter. Reports identification symbols will not be assigned.
- a. Headquarters FAA. Whenever such requests require a recurring report, the office complying with the request will notify its Reports Control Officer who will in turn notify the Headquarters FAA Reports Management Officer for information purposes.
 - b. Field Offices. Whenever such requests require a recurring report, the recipient will notify his Reports Management Officer for information purposes.
19. OTHER REPORTS THAT MAY BE EXEMPTED. Other reports may be exempted from the Reports Management System by Reports Management Officers. Categories of reports which may be exempted are:
- a. Reports not specifically exempted but which are determined to be consistent with the intent of exempted reports categories.
 - b. Reports considered desirable to be exempted because of special security classifications.
 - c. Reports determined by the Reports Management Officer to be exempted because normal reports management procedures are impracticable due to special emergency situations.
- A summary statement of the specific reasons for exemptions under paragraphs 19b and 19c will be maintained by all Reports Management Officers to allow for review and to attain Agency-wide consistency of application.
20. RESERVED.

CHAPTER 4. POLICY, STANDARDS AND PROCEDURES FOR CLEARANCE
OF FAA REPORTS

21. GENERAL. The FAA is responsible for the efficient management of reports in accordance with the standards for Federal reporting. The FAA is also responsible for initial review and evaluation of reports levied on the public which are subject to approval by the Bureau of the Budget. To fulfill this requirement, reports in the following general categories which have not been exempted in chapter 3 will be subject to the Reports Management System established by this handbook.

- a. The collection of information for operating or management purposes in accordance with a prescribed plan, form or format.
- b. Summary information in the form of tables, tabulations or narrative reports based on data collected within the FAA including information summarized or processed through the use of data processing equipment.
- c. Recurring reports requested by the FAA from other Federal agencies.
- d. Reports subject to the provisions of the Federal Reports Act of 1942.

Directives, letters, teletypes or other communications which require reports will be complied with only when an appropriate reports identification symbol (Bureau of the Budget or FAA) is cited or the report has been exempted.

22. STANDARDS FOR REPORTS.

- a. Use. The use to be made of a report must justify the cost of preparation, submission and processing.
- b. Essentiality. Reports should be instituted or continued only as a means of obtaining data essential for operational or management purposes. Reports will not be established to verify the accuracy of another report. Negative reporting will be limited to instances in which such a requirement is essential.
- c. Economical Procedures. The most economical reporting procedures should be used. These include sampling, change reporting or reporting by exception.
- d. Utilization of Data. Data compiled by one region, office or service should also be used to the maximum extent by other organizations of the FAA.

- e. Coordination. Requests for reports should be coordinated with preparing activities and those having a responsibility in the subject matter area whenever feasible or practical. Whenever possible, this should be accomplished during the developmental stage of preparing the reporting procedures. Reporting requirements and procedures should be coordinated with:
- (1) Those offices, services or regions which have a genuine interest in the proposed report because:
 - It will materially affect or assist in the decision-making for which they are responsible, or
 - They have an administrative or legal responsibility for the subject matter area.
 - (2) Those offices, services or regions which will benefit from or will be affected by the report because:
 - A significantly increased workload is placed on the preparing activity,
 - There is a requirement for similar or identical data, or
 - It will affect the workload in data processing units.
- f. Combined Reports. Related reports should be combined where practical and economical. Mailing and handling costs are a significant portion of report cost. Reduction in the number of submissions results in economies of operation.
- g. Summarization. Reports should be summarized to eliminate nonessential detail. The redesign of reports must be a continuing process to maintain a high level of efficiency.
- h. Deadlines. Deadlines must be realistic. Impossible or impractical deadlines increase cost out of proportion to the value gained. Rapid submissions also often result in inaccurate reports and the need for resubmissions. Proper planning can and must be employed to avoid such requests.
- i. Frequency. Reports should be required only as frequently as the rate of change in the activity being reported dictates.
- j. Duplication. Duplication of data should be held to a minimum consistent with the need for showing the same items of information in separate reports.

- k. Simplicity. Data should be prepared and processed by the most direct and orderly methods possible.
 - l. Applicability. Requests for reports will be appropriate to the mission or responsibility of the organization establishing the report.
23. GENERAL PROCEDURES FOR CLEARANCE AND IDENTIFICATION OF REPORTS. The following general procedures will apply in implementing the Reports Management System.
- a. Application for Clearance of Reports. Requests for reports requiring Bureau of the Budget clearance action will be submitted on Standard Form 83, Request for and Notice of Bureau of the Budget Clearance Action (see appendix 2). Requests for all other reports will be submitted on FAA Form 1446, Application for Approval of Report (see appendix 1).
 - b. FAA Recurring Reports. The initiating activity will provide at least the following documents or information in its transmittal to the Reports Control Officer or Reports Management Officer, as applicable:
 - (1) Completed FAA Form 1446.
 - (2) Proposed directive or instructions.
 - (3) Proposed reporting form(s), if applicable.
 - (4) List of the titles of the reports to be prepared and the proposed distribution of the reports or planned publications.
 - (5) Classification and codes to be used when coding or tabulating is involved in processing the data.

Review of the above information will be the basis for determining whether a report requirement meets Agency standards. More specifically:

Items (1)-(4) will be used to define, justify and catalog FAA reports;

Item (5) will enable Reports Control Officers and Reports Management Officers to determine the comparability of the elements of data requested with similar data for other reports. Comparability of classifications and their supporting codes will make it possible to use such classifications in related functional areas.

- c. FAA One-Time Reports. The initiating activity will provide at least the following documents or information in its transmittal to the Reports Control Officer:
 - (1) Completed FAA Form 1446.
 - (2) Proposed reporting directive or instructions.
 - (3) Proposed reporting form(s), if applicable.
- d. Reports Requiring Bureau of the Budget Approval. The procedures in chapter 5 will be used when one-time or recurring FAA reports involve reporting by non-Federal employees or organizations.
- e. Revising an Existing Report. Revisions to recurring reports involving changes in the reporting form or frequency will be submitted in the same manner as required for new reports. However, a memorandum specifying the change may be used in lieu of the complete requirement in paragraph 23b whenever changes other than the reporting form or frequency are involved. For example: Additional subtotals or additional columns of information are required from available data (such as a deck of punched cards).
- f. Discontinuing a Report. No form is required to discontinue an approved report. However, the initiating activity will coordinate the discontinuance of a report with those organizations which use the report as well as with the Reports Management Officer. The initiating activity will inform respondents of the report discontinuance. One-time reports are automatically rescinded 60 days after the due-in date of the report.
- g. Reports Requested by FAA Regional Offices from Other Regional Offices. The Reports Management Officer for the region instituting the report will approve such requests upon coordination with the preparing regions. Interregional reports may be referred to the Headquarters FAA Reports Management Officer for review if so desired by the regions concerned.
- h. Reports Requested from Other Federal Agencies by FAA Offices, Services, Bureau or Regional Offices. The requirements for clearance of recurring reports are the same as in paragraph 23b.
- i. Correspondence Pertaining to Reports. Correspondence pertaining to a report with an assigned reports identification symbol will cite the symbol and the title of the report as the subject.

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- j. Evidence of Approval of Reports and Report Plans. Evidence of approval of reports will be indicated by including the reports identification symbol in the applicable portion of the directive. In the instance of reporting requirements made on the public, report plans and report forms will carry the Bureau of the Budget approval number. (See chapter 5.)
- k. Reports Identification Symbol (RIS) for Recurring Reports. The reports identification symbol will be assigned in accordance with appendix 2 of the FAA Directives System Handbook (OA P 1320.1).
 - (1) The first element of the reports identification symbol will be the two-letter alphabetical code identifying the office, service, bureau or regional organization issuing the directive which requires the report.
 - (2) The second element of the reports identification symbol will be the first four digits of the subject classification shown in appendix 2 of the FAA Directives System Handbook (for example, 7230 for air traffic facility operations).
 - (3) The third element of the reports identification symbol identifies the report area within the subject classification. Thus, the first report area under 7230 will be identified as "-1" (for example, Peak Day IFR Enroute Traffic report area); the second, as "-2" (for example, Air Traffic Activity report area); and so forth.
 - (4) The fourth element of the reports identification symbol identifies the specific reports prepared. The code used is a sequence code of (as many digits as required) numbers 1...n.
 - (5) An example of the reports identification symbol for the Peak Day IFR Enroute Traffic report area is AT 7230-1. The specific reports prepared would be numbered AT 7230-1-1, AT 7230-1-2. The forms (or formats) required by the directive will be listed in the catalog as the first series of specific reports. For the Peak Day report, FAA Form 2153 will be assigned AT 7230-1-1. (See figure 1, chapter 6.) The specific reports prepared from the information provided by the forms (or formats) will be assigned reports identification symbols which follow those assigned to the forms.
 - (6) The subject classification (see (3) above) may occasionally be different from that assigned to the directive. For example: the directive for the report of Intermediate Field Landings (FAA Form 269) is SM 6900.13. However, the subject of this report involves air traffic and should be assigned the subject classification of SM 7230.

1. Reports Identification Symbol for One-Time Reports.

- (1) The first and second elements of the reports identification symbol will be assigned in the same manner as for recurring reports.
- (2) The third element will be the symbols "OT" preceded by a dash. For example, FS 1340--OT. The publication date of the issuance (or the date of letter or TWX requesting the report) will be used to identify the sequence of a one-time report within a subject classification.

24. PROCEDURE FOR CLEARANCE OF HEADQUARTERS FAA REPORTS.

a. Recurring Reports. Before establishing a recurring report not requiring Bureau of the Budget clearance, the initiating activity will forward the requirement for the report to the Reports Control Officer. The Reports Control Officer, after necessary coordination, will submit the following material to the Headquarters FAA Reports Management Officer for approval and assignment of a reports identification symbol:

- (1) Completed FAA Form 1446 in duplicate.
- (2) Copy of the proposed reporting directive. (An additional copy should be submitted if a new or revised FAA form is required.)
- (3) Draft of any proposed reporting form(s) in duplicate. (If this is a new or revised FAA form, submit a completed set of FAA Form 1358.)
- (4) List of all classifications and codes to be used. (Classifications and codes may be referenced to an FAA publication, if available.)
- (5) List of reports to be prepared with indication of the method of preparation.
- (6) Proposed distribution of the reports or planned publication.

Material submitted for approval of a new or revised FAA form will be forwarded to the Forms Management Officer. When the requirement for the report meets the Agency standards, a signed copy of FAA Form 1446 showing the assigned reports identification symbol will be returned to the initiating activity. The Forms Management Officer will also be notified of the action taken. If the requirement for the report does not meet the required standards, a copy of FAA Form 1446 with a

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covering memorandum stating the reasons for nonapproval will be returned to the initiating office or service. The Director (or Assistant Administrator) of the office, service or bureau concerned may then approve or disapprove the requirement for the report. If the report is approved, the Reports Management Officer will provide the required reports identification symbol.

- b. One-Time Reports. Before establishing a one-time report not requiring Bureau of the Budget clearance, the initiating activity will effect the necessary coordination, including proposed FAA forms if required, and submit the report requirement to the Reports Control Officer for approval. Reports Control Officers will furnish the Headquarters FAA Reports Management Officer with one copy of FAA Form 1446, the proposed reporting directive and the proposed reporting form(s) for the reports file within five days after assigning the reports identification symbol.
 - c. Reports Requiring Bureau of the Budget Approval. The initiating activity will complete Standard Form 83 in accordance with chapter 5 and forward the required material to the Headquarters FAA Reports Management Officer through the Reports Control Officer. The Headquarters FAA Reports Management Officer will obtain the necessary clearance from the Bureau of the Budget.
25. CLEARANCE PROCEDURES FOR THE OFFICE OF THE MANAGER, AERONAUTICAL CENTER, AND EACH REGION. The Office of the Manager, Aeronautical Center, and each region will publish their specific procedures in accordance with procedures established by the Directives System Handbook.
26. - 35. RESERVED.

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CHAPTER 5. FEDERAL REPORTS ACT

36. THE FEDERAL REPORTS ACT OF 1942 (Public Law 831, 77th Congress). This act provides that no Federal agency shall conduct or sponsor the collection of information upon identical items from 10 or more persons, other than Federal employees, without the prior approval of the Bureau of the Budget. The intent of Congress in adopting this act was to minimize the burden of obtaining information from business enterprises and to maximize the usefulness of information obtained to other Federal agencies and the public as well as to the collecting agency. The act applies not only to statistical questionnaires but also to administrative forms such as applications or claims forms. It applies regardless of the method to be used; whether by mail, personal interview, telegraphic request, transcription from corporate accounts, or other methods. When reports are proposed to be requested of 10 or more respondents outside the FAA, an initial (formal or informal) review may be made in conjunction with the Headquarters FAA Reports Management Officer to determine whether the procedures are subject to the requirements of the Federal Reports Act.
37. CONTRACTING ORGANIZATIONS. The provisions of the Federal Reports Act apply to contracting organizations under the sponsorship of Federal agencies. Any FAA contractor proposing the collection of identical data from 10 or more non-Federal employees must submit the reporting program and forms through the FAA to the Bureau of the Budget for the required approval.
38. BUREAU OF THE BUDGET CIRCULAR NO. A-40 (Revised). This circular implements the Federal Reports Act and prescribes requirements for the review and clearance of reporting plans and forms proposed by any Federal agency in the collection of information. The procedures prescribed in Circular No. A-40 also cover plans or report forms developed by research grantees, contractors and other Federal agency-sponsored collectors of information.
39. BUREAU OF THE BUDGET CIRCULAR NO. A-39. This circular outlines procedures to be observed by any Federal agency in dealing with official requests from intergovernmental organizations for statistical information under Executive Order No. 10033. Executive Order 10033 provides that the Director of the Bureau of the Budget shall (a) determine, with the concurrence of the Secretary of State, what information shall be provided in response to official requests from any intergovernmental organization of which this country is a member, and (b) determine which Federal executive agency or agencies shall prepare the information. These regulations also provide that the National Advisory Council on International Monetary and Financial Problems shall determine, after consultation with the Director of the Bureau of the Budget, what information is essential in order to comply with official

requests for information received from the International Monetary Fund or the International Bank for Reconstruction and Development. The Director of the Bureau of the Budget shall determine which Federal executive agency or agencies shall collect and make available such information. Bureau of the Budget Circular A-39 exempts the following types of requests from approvals required by Executive Order 10033:

- a. Any request from an intergovernmental organization not listed in the circular;
- b. Requests for published documents; and
- c. Requests which indicate that the desired information is not intended for publication, citation in documents, use in intergovernmental conferences, or other uses of a formal nature.

When any Federal Aviation Agency organization receives a direct request from an international agency, or if the request is from the International Monetary Fund or the International Bank for Reconstruction and Development, it shall promptly provide copies of the request in triplicate, together with any recommendations thereon to the Headquarters FAA Reports Management Officer for review and subsequent transmittal to the Bureau of the Budget or to the National Advisory Council on International Monetary and Financial Problems.

40. BUREAU OF THE BUDGET CIRCULAR A-46 AND EXHIBIT A. This circular outlines the standards for statistical surveys. The circular is directly related to requirements for the "Supporting Statement" to be provided with Standard Form 83. It is the responsibility of the requester to display sufficient information to allow a determination by the Bureau of the Budget that the Agency is conforming with Federal standards for surveys or reports.
41. ADMINISTRATIVE PROCEDURE ACT (Public Law 404, 79th Congress). This act contains the requirements for each agency to provide the public with information on its organization and method of operation and its rules and rulemaking procedures. A notice of a proposed rule must be published in the Federal Register (with a few exceptions) to afford interested persons an opportunity to participate in assent or objections to such rulemaking. In order to simplify the procedural relationship between the Bureau of the Budget review of recordkeeping and reporting requirements under the Federal Reports Act and the rulemaking procedures prescribed by the Administrative Procedure Act, the following procedure will be followed:

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a. Before the Notice of Proposed Rulemaking is Published in the Federal Register.

- (1) When the Federal Aviation Agency is considering the initiation of a rulemaking procedure in accordance with the Administrative Procedure Act, which calls for recordkeeping or reporting by 10 or more respondents, a draft of the proposed rule with a memorandum identifying the recordkeeping and reporting requirements will be forwarded to the Headquarters FAA Reports Management Officer. The memorandum will provide such supporting information as normally accompanies a Standard Form 83, Request for and Notice of Bureau of the Budget Clearance Action.
- (2) The Headquarters FAA Reports Management Officer will forward the documents to the Bureau of the Budget for review of the recordkeeping and reporting requirements of the draft rules. The Bureau of the Budget will send its comments on these requirements to the Headquarters FAA Reports Management Officer as soon as possible, preferably before the Notice of Proposed Rulemaking is published in the Federal Register. These comments will be made available to the originating office by the Headquarters FAA Reports Management Officer.

b. When the Notice of Proposed Rulemaking is Published.

- (1) At the time the Notice of Proposed Rulemaking is published in the Federal Register the initiating office will submit Standard Form 83, Request for and Notice of Bureau of the Budget Clearance Action, in accordance with the procedure in paragraph 42, (Procedure for Clearance of Reporting and Recordkeeping Requirements under the Federal Reports Act). In addition, the supporting statement will identify any changes which may have been made in the recordkeeping and reporting requirements from the draft previously submitted with the memorandum.
- (2) The Bureau of the Budget will already be familiar with the proposed requirements and, in most cases, will already have conducted a review prior to the submission of Standard Form 83. Thus, final action by the Bureau on the request for approval will be greatly facilitated.

c. When the Rules are Published in the Federal Register.

- (1) Approval by the Bureau of the Budget is made with the understanding that the proposed recordkeeping and reporting

requirements will not be revised prior to publication in the Federal Register as rules. The FAA will be required to submit the revised requirements to the Bureau of the Budget for approval if the rules are changed with respect to:

- (a) The kind or amount of information;
- (b) The number or identity of respondents; or
- (c) The time or frequency of reporting.

42. PROCEDURE FOR CLEARANCE OF REPORTING AND RECORDKEEPING REQUIREMENTS UNDER THE FEDERAL REPORTS ACT. All reporting and recordkeeping requirements for the collection of identical items of information from 10 or more respondents will be submitted through the Reports Control Officer or Reports Management Officer to the Headquarters FAA Reports Management Officer for clearance with the Bureau of the Budget. This clearance requirement applies equally to contractual arrangements for the collection of such information by other organizations under the sponsorship of FAA. All such reporting forms or plans cleared by the Bureau of the Budget will carry the Bureau's approval number.

a. Application for approval of a plan will be made by submitting:

- (1) Five completed copies of Standard Form 83, Request for and Notice of Bureau of the Budget Clearance Action (appendix 2);
- (2) Three copies of supporting statement or justification containing a detailed explanation of the necessity for, and the use to be made of, the information desired;
- (3) Three copies of the proposed instructions to respondents;
- (4) Five copies of any proposed form or format. (If this is a new or revised FAA form, submit a completed set of FAA Form 1358.)

b. Application for approval of a revised form or plan will be made by following the same procedure as for a new form or plan except that the supporting statement may be limited to explanation of, and reasons for, the revision.

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- c. Application for extension of Bureau of the Budget approval will be made at least two months before the expiration date by submitting five completed copies of Standard Form 83 to the Headquarters FAA Reports Management Officer. Additional material (as in the case of a new or revised form or plan) will not be required. A brief restatement of the use to be made of the reported data will be submitted.
43. CANCELLATION OF REPORTING AND RECORDKEEPING REQUIREMENTS. When an established reporting form or plan previously approved by the Bureau of the Budget is no longer required, the Reports Control Officer will notify the Headquarters FAA Reports Management Officer in writing. The Headquarters FAA Reports Management Officer will in turn notify the Bureau of the Budget.
44. PREPARATION OF STANDARD FORM 83. General instructions for completing this form are shown on the back of the form (appendix 2). The following additional instructions are also applicable:
 - a. Item 1. Enter "Data Systems Division (MS-300), Office of Management Services, Federal Aviation Agency."
 - b. Item 5a. Enter "Federal Aviation Agency."
 - c. Item 5b. Enter the designation of the office or service proposing the report down to division or branch level.
 - d. Item 17. Enter signature of the Reports Control Officer (or the signature of the Reports Management Officer when the initiating office is an organizational element of a region or the Office of the Manager, Aeronautical Center).
 - e. Item 19. Leave blank (for signature by the Headquarters FAA Reports Management Officer).
45. EVIDENCE OF BUREAU OF THE BUDGET CLEARANCE OF REPORTING AND RECORDKEEPING REQUIREMENTS. Evidence of Bureau of the Budget approval will be indicated by printing or inscribing on the approved document the endorsement prescribed by the Bureau of the Budget on Standard Form 83 under "Notice of Action."
 - a. In certain instances the Bureau of the Budget permits approved reporting forms to be reproduced without expiration date associated with the Budget Bureau number. This approval format has special application to forms which are expensive to print, such as "snap-out" forms, and to administrative forms for which requirements cannot be accurately estimated.

- b. Reporting forms and plans exempted from clearance by the Bureau of the Budget may carry the following notation, preferably in the upper right corner of the first page:

Approval of the Bureau of the Budget
Not Required

This notation may be used, when specifically authorized by the Bureau of the Budget, in order to facilitate compliance and to minimize uncertainty and misunderstanding on the part of respondents.

46. FEDERAL REPORTS ACT AND BUREAU OF THE BUDGET CIRCULARS. Copies of the Federal Reports Act and Bureau of the Budget Circulars referenced in this handbook will be made available to Reports Management Officers through regular distribution channels.
47. - 50. RESERVED.

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CHAPTER 6. CATALOG OF FAA RECURRING REPORTS

51. GENERAL. The catalogs of recurring reports will provide all elements of the Agency with an available source of information as to the kinds and types of data compiled.
52. FORMAT. The standards of OA P 1320.1 apply to catalogs of recurring reports.
 - a. Publish on 8 x 10-1/2 inch paper drilled with 3/8 inch holes for looseleaf filing in standard three-ring binders.
 - b. Use the broad side of the page and the columnar arrangement shown in figure 1.
53. PUBLICATION. Each Reports Management Officer is responsible for issuing at least annually a revised catalog of recurring reports which he has approved and to which he has assigned reports identification symbols. The Headquarters FAA Reports Management Officer will specify the date for the annual issue of the catalogs to maintain uniformity. As required, each Reports Management Officer may issue supplements, changes to, or complete revisions of the annual catalog of recurring reports.
54. MAINTENANCE OF CATALOGS OF RECURRING REPORTS. Each Reports Management Officer will annotate a copy of the catalog to show changes to, and additions of, recurring reports in his assigned area of responsibility. Reports approved subsequent to the latest issue of the catalog will automatically be considered as an addition to the catalog of approved reports.
55. REPORTS FILES. Each Reports Management Officer will maintain a file of the material provided in accordance with paragraph 23 for his assigned area of responsibility. The file will be maintained in accordance with FAA Records Management Handbook, AD P 1350.1.

FIGURE 1. FORMAT FOR CATALOG OF RECURRING REPORTS

TITLE OF REPORT AREA	REPORTS IDENTIFICATION SYMBOL	SPECIFIC REPORTS PREPARED		FORM NO. (IF APPLICABLE)	INITIATING AGENCY (TO DIVISION LEVEL)	DIRECTIVE IDENTIFICATION
		TITLE	FREQUENCY			
PEAK DAY IFR ENROUTE TRAFFIC	AT 7230- 1-1	ENROUTE IFR PEAK DAY TRAFFIC	ANNUAL	FAA 2153	PROGRAM CONTROL DIVISION, AT-30	AT P 7230.1 PAR. 704
	-2	ENROUTE IFR PEAK DAY AIRWAY STRUCTURE AND TRAFFIC DATA	ANNUAL	(CHARTS)		
	-3	IFR PEAK DAY FLIGHT PLAN SUMMARY	ANNUAL	(FORMAT)		
	-4	PAIRS OF COMMUNITIES EXCHANGING TEN OR MORE IFR FLIGHTS	ANNUAL			
	-5	PEAK DAY IFR FLIGHTS FROM ARTC CENTERS BY ALTITUDES ASSIGNED AND CLASS OF USER	ANNUAL			
	-6	PEAK DAY IFR FLIGHTS FROM AIR TRAFFIC CONTROL TOWERS BY ALTITUDES ASSIGNED AND CLASS OF USER	ANNUAL			
AIR TRAFFIC ACTIVITY	AT 7230- 2-1	MONTHLY ACTIVITY RECORD-FLIGHT SERVICE STATIONS	MONTHLY	FAA 2341	PROGRAM CONTROL DIVISION, AT-30	AT P 7230.1 PARS. 740, 741, and 750

Figure 1

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APPENDIX 1. INSTRUCTIONS FOR COMPLETING FAA FORM 1446
APPLICATION FOR APPROVAL OF REPORT

1. GENERAL. Submit completed form together with material required (see paragraphs 23b and 23c) prior to publication of the directive for the report.
2. ITEM 1. Exact Title of Report. The title will be carefully selected to be brief, descriptive of the subject of the report and not in conflict with titles of other reports.
3. ITEM 2. Reports Identification Symbol. Entry in this block will be made by the Reports Management Officer (Reports Control Officer for one-time reports).
4. ITEM 4. Directive to Preparing Activities.
 - a. Permanent Directives. Enter the number of the order or handbook as defined in paragraph 3, FAA Directives System Handbook OA P 1320.1; or enter the identification of the FAA issuance if available.
 - b. Temporary Directives. Enter the type of communication and the office symbol of the transmitting office. Examples: Notice FS-30; TWX AT-20; Letter FS-200.
 - c. Expiration Date. Enter "none" for recurring reports. Enter the final due-in date for one-time reports and temporary directives.
5. ITEM 7. Frequency. Words such as "bi-weekly," "bi-monthly," or "bi-annually" will not be used. Phrases such as "twice a week," "every two weeks," "every two months" will be used to avoid misinterpretation.
6. ITEM 9. Due Dates. Due dates for reporting requirements will be expressed in calendar or work days as applicable. The "Due-in" date is the date the report is due to arrive at its prescribed destination. The "Due-out" date is the date the report is to be submitted by the preparing activity.
7. ITEM 12. Description of Data Reported. This information may be brief since a copy of the prescribing directive is attached, but should reflect a clear and concise summary of the data to be reported. Use an attached sheet where necessary to complete this item.
8. ITEM 13. Justification. Enter sufficient information to permit the reviewer, without further amplification, to analyze and understand the need for and the specific use to be made of the data (i.e., what actions

will be based on the data received). Outline the function underlying the requirement for the report and compare the value of the report in relation to the cost of preparation and processing the data. Explain in detail the effect of nonreceipt of data. Use an attached sheet where necessary to complete this item.

9. ITEM 16. References.

- a. Initiating Activity is the office which prepared the request for the report (division or equivalent level).
- b. Reports Control Officer is the individual designated in accordance with paragraph 11.

Every effort will be made by the initiating office and its Reports Control Officer to resolve nonconcurrences and suggested changes prior to forwarding the request to the applicable approving authority. All comments, including nonconcurrences, will be forwarded with FAA Form 1446 to the applicable Reports Management Officer or Reports Control Officer.

APPLICATION FOR APPROVAL OF REPORT				
INSTRUCTIONS: Submit completed form in duplicate together with copy of proposed directive prior to issuance of the directive for the report.				
1. EXACT TITLE OF REPORT		2. REPORTS IDENTIFICATION SYMBOL		
		3. REPORT IS <input type="checkbox"/> New <input type="checkbox"/> Revised		
4. DIRECTIVE TO PREPARING ACTIVITIES		5. REPORTS SUPERSEDED BY PROPOSED REPORT (in whole or in part) INCLUDING REPORTS IDENTIFICATION SYMBOLS		
Permanent	Expiration date			
Temporary				
Directive identification (order handbook, ltr., etc.)				
6. PREPARING ACTIVITIES (list by name or indicate specific class or group)				
7. FREQUENCY (one time, monthly, as required, etc.)		8. "AS OF" DATE OR PERIOD COVERED	9. DATE DUE	
			A. In B. Out	
10. SPECIFIC RECIPIENT(S) OF REPORT (list organizations)		11. METHOD OF TRANSMISSION (mail, twx, etc.)		
12. DESCRIPTION OF DATA REPORTED (use attached statement, if necessary)			Classification and codes	
			<input type="checkbox"/> Attached <input type="checkbox"/> Referenced	
13. COMPLETE AND DETAILED JUSTIFICATION (use attached statement, if necessary)				
14. ESTIMATED MAN-DAYS REQUIRED IN ONE-TIME PREPARATION		A. Preparation man-days	B. Processing man-days	
15. CONCURRENCES				
DATE	OFFICE	TELEPHONE EXT.	SIGNATURE	
16. REFER QUESTIONS TO				
DATE	INITIATING ACTIVITY (name and symbol)	TELEPHONE EXT.	SIGNATURE	
DATE	NAME OF REPORTS CONTROL OFFICER	TELEPHONE EXT.	SIGNATURE	
17. APPROVED BY REPORTS MANAGEMENT (control) OFFICER				
DATE	REPORTS MANAGEMENT (control) OFFICER	TELEPHONE EXT.	SIGNATURE	

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APPENDIX 2. STANDARD FORM 83

STANDARD FORM No. 83 January 1962 Bureau of the Budget 83-104	REQUEST FOR AND NOTICE OF BUREAU OF THE BUDGET CLEARANCE ACTION For Documents Requiring Approval Under Bureau of the Budget Circulars No. A-40 and A-17	SEE INSTRUCTIONS BELOW AND ON REVERSE SIDE
Leave this space blank	NOTE: For clearance under Circular No. A-40, submit three copies, and under Circular No. A-17 four copies, of this request to the Bureau of the Budget. For each duplicate notice of action desired by the submitting agency, an additional copy should be submitted. Attach two copies of (1) the material submitted for clearance, (2) the supporting statement described in instructions, and (3) any supplementary documents, such as instructions, covering letters, summary of tabulation plans, etc.	Leave this space blank

REQUEST FOR CLEARANCE

1. NAME AND ADDRESS OF OFFICE TO WHICH NOTICE OF ACTION SHOULD BE SENT		2. CURRENT APPROVAL NO.
3. CURRENT EXPIRATION DATE		4. SUGGESTED EXP. DATE
5a. DEPARTMENT OR AGENCY SUBMITTING REQUEST	5b. BUREAU AND DIVISION ORIGINATING REQUEST	
6. NAME OF PERSON WITH WHOM BUDGET BUREAU REVIEWER SHOULD CONFER.	7. TELEPHONE CODE AND EXTENSION	
8. TITLE OF FORM OR OTHER DOCUMENT SUBMITTED		9. FORM NO. (Agency, Standard or Optional)
10. RELATED FORMS, REQUIREMENTS, ETC. (Identify any to be replaced)		
11. TYPE OF DOCUMENT SUBMITTED ("X" ONE) <input type="checkbox"/> FORM <input type="checkbox"/> REPORTING OR RECORD-KEEPING REQUIREMENT <input type="checkbox"/> OTHER (Specify):		12. EDITION ("X" ONE) <input type="checkbox"/> NEW <input type="checkbox"/> REVISED <input type="checkbox"/> EXTENSION—NO CHANGE
13. FREQUENCY OF USE ("X" ONE) <input type="checkbox"/> ANNUAL <input type="checkbox"/> QUARTERLY <input type="checkbox"/> MONTHLY <input type="checkbox"/> WEEKLY <input type="checkbox"/> ON OCCASION <input type="checkbox"/> SINGLE TIME <input type="checkbox"/> OTHER (Specify)		
14. REPORTING METHOD ("X" ONE) <input type="checkbox"/> MAIL <input type="checkbox"/> PERSONAL INTERVIEW <input type="checkbox"/> OTHER (Specify)	15. ACTUAL OR ESTIMATED COVERAGE: NUMBER _____ IF SAMPLE SURVEY, NUMBER IN UNIVERSE _____	16. SUPPORTING STATEMENT ("X" ONE) <input type="checkbox"/> NEW STATEMENT ATTACHED <input type="checkbox"/> PREVIOUS STATEMENT APPLICABLE
17. SIGNATURE AND TITLE OF APPROVING OFFICIAL FOR ORIGINATING OFFICE		18. DATE SIGNED
19. SIGNATURE AND TITLE OF OFFICIAL SUBMITTING REQUEST TO BUREAU OF THE BUDGET		20. DATE SIGNED

NOTICE OF ACTION

(To be completed by Bureau of the Budget)

In accordance with the provisions of Bureau of the Budget Circulars No. A-40 and A-17, the action indicated below has been taken with respect to the above request. In the case of 1 or 2 below, the information appearing in the box must appear in the upper right corner of the document. In the case of 3, it must appear somewhere in the document. For a standard or optional form, the form number and edition date shown in 4 must appear on the form, preferably in the upper left corner, with the name of the promulgating agency and reference to its directive governing use of the form. After reproduction of form or document, send two copies to this office.

1. <input type="checkbox"/> Approved. <div style="border: 1px solid black; padding: 5px; width: fit-content;"> BUDGET BUREAU NO. _____ APPROVAL EXPIRES _____ </div>	4. <input type="checkbox"/> Approved as: STANDARD FORM NO. _____ DATE _____ OPTIONAL FORM NO. _____ DATE _____ EXCEPTION TO STANDARD FORM NO. _____ DATE _____
2. <input type="checkbox"/> Approved through— <div style="border: 1px solid black; padding: 5px; width: fit-content;"> FORM APPROVED. _____ BUDGET BUREAU NO. _____ </div>	5. <input type="checkbox"/> Disapproved or other action. (See "Remarks") Remarks: _____
3. <input type="checkbox"/> Approved under Budget Bureau No. <div style="border: 1px solid black; padding: 5px; width: fit-content;"> The reporting and/or record-keeping requirements contained herein have been approved by the Bureau of the Budget in accordance with the Federal Reports Act of 1942. </div>	

Action approved by— <div style="display: flex; justify-content: space-between;"> (Signature) (Title) </div>	Date signed _____
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INSTRUCTIONS FOR COMPLETING STANDARD FORM 83

Documents Requiring Approval. This form is to be used for requesting clearance of all documents requiring approval under Bureau of the Budget Circular No. A-40 (Revised), Clearance of Plans and Report Forms under the Federal Reports Act, and Circular No. A-17 (Revised), Clearance of Standard and Optional Forms. The term "document" refers to report forms and to orders, regulations or other directives which include requirements to submit reports or to maintain records. It also refers to any supplementary documents, such as instructions, covering letters, tabulation plans, etc. Contracts or agreements under which a Federal agency sponsors the collection of information, and the forms, plans or requirements growing out of such contracts or agreements, are also subject to clearance.

Item 1—Enter name and address of office responsible for final clearance of request within the department or agency and for transmittal to the Bureau of the Budget. The notice of action will be returned to the address shown.

Item 2—For a request for approval of a revision or an extension, enter the current Budget Bureau approval number. For new requests, leave blank.

Item 3—Enter the expiration date last assigned, if any.

Item 4—The originating office should suggest an expiration date for the approval being requested. Documents that have been in use for some time and for which early revisions are not contemplated, may be approved for periods up to 5 years. Single-time forms are approved for periods sufficiently long to permit the collection of the information.

Items 5a and 5b—Enter name of department or agency, and the bureau and division or other corresponding office originating the request and responsible for developing the forms, plans, regulations, etc.

Item 6—The person who is familiar with the document being cleared and who can answer questions about it.

Item 7—The code and extension or other telephone number of the person named in item 6.

Item 8—The title which appears on the form or document in sufficient detail to be easily identified. If it has no title, enter a descriptive phrase.

Item 9—The number or other symbol assigned to the form or document by the agency. If a revision of standard or optional form, enter the number assigned by the Bureau of the Budget. For new standard or optional form, leave blank.

Item 10—Enter either the Budget Bureau approval number, the agency number, or the title of any related forms or documents, e.g., forms of agency collecting similar information for a different period of time or from a different group of respondents. Any of these forms which are to be replaced by the form covered by the request for clearance must be identified.

Item 11—The term "form" includes any application form or other administrative report form, questionnaire, schedule, telegraphic request, or other similar device for the collection of information. "Reporting or record-keeping requirements" refers to any order, regulation, or other directive containing requirements to submit reports or maintain records. Contracts or agreements under which a Federal agency is sponsoring the collection of information should be entered under "other."

Item 12—Check "new" if the form or document has never been submitted for clearance before. Check "revised" if any substantive changes are being made in an approved form currently in use. All such changes are subject to approval as soon as they are made even if the current approval has not expired. Check "extension" if no changes are being made or if they are of a very minor nature, such as changes in dates.

Item 13—Check "annual," "monthly," etc., for regularly repetitive forms; "on occasion" for forms used if, as, and when required (such as most application and registration forms); and "single time" for forms which are nonrepetitive or of noncontinuing use.

Item 14—Check the appropriate box to indicate whether the information is being obtained by mailing a form to the respondent or by means of a face-to-face interview. If other means are to be used, check "other" and specify.

Item 15—For applications and other administrative forms, estimate the number (exclusive of duplicate originals) to be used in a stated time period, e.g., 3,000 per year, 20 per month, etc. In the case of statistical surveys, give the number to be contacted. If it is a sample survey, also report the total number in the universe from which the sample was selected.

Item 16—Indicate whether a supporting statement is attached or that the previous statement submitted is still applicable. (See instructions for supporting statement, below.)

Items 17 and 18—These spaces are provided for the signature and title of the person in the originating office who normally approves forms and survey plans, and the date signed.

Items 19 and 20—These spaces are for the signature and title of the person responsible for submitting the request for clearance to the Bureau of the Budget, if this person is different from the one signing in item 17. In agencies having central clearance units, the person heading such unit would sign here.

Notice of Action. This part of the form will be completed by the Bureau of the Budget. When this section of the form has been completed and signed, the number of copies required by the agency will be returned to the office designated in item 1.

SUPPORTING STATEMENT

A supporting statement must accompany each request for clearance unless the request is for extension of approval without change, in which case the last previous statement will be considered applicable if so indicated in item 16. The supporting statement should include the following:

A. Justification of form or other document (or revision thereof) in its relation to operating or research programs

1. Describe the situation or problem which makes the collection of the information necessary and indicate by whom and how the data will be used. If the request covers a revision of an existing form or document, it is necessary only to identify the changes to be made and state the reasons for making them. In such cases, attach two copies of the form or document now in use in addition to the required copies of the revised form.

2. Explain the relationship of the forms or documents covered by this request to any listed under item 10.

3. If the data are to be collected on a regularly repetitive basis, explain the need for the frequency of collection planned.

B. Justification of method used in selecting and contacting those to be covered

1. For statistical surveys, identify the type of individuals or organizations to be covered, describe the plan used in selecting them, and justify the method to be used in contacting them. This should include plans for pretesting forms or requirements before actual use and for following up in cases where replies are not received. (See Bureau of the Budget Circular No. A-46, Exhibit A, Standards for Statistical Surveys.)

2. For application, registration, and other administrative forms, identify the type of individuals or organizations that will use them.

C. Brief description of plans for collection, tabulation and publication

1. For single-time forms, indicate when the collection of information will begin and end. Also provide any other facts about the collection phase that are pertinent to a proper evaluation of the project.

2. A summary of the tabulation plans should accompany the request for clearance or be described briefly in the supporting statement.

3. Indicate briefly the plans for publication, such as time, type and content. If any data collected are not to be published, give reasons. (See Standards for the Publication of Statistical Data, Bureau of the Budget.)

D. Documentation of consultation with those supplying data, users of the data, and others

1. Give names of individuals outside of the sponsoring bureau with whom this material has been discussed, and indicate agencies, organizations or companies which they represent. Summarize any major problems on which agreement could not be reached.

2. To allow proper consideration of the burden which would be imposed on the respondent and to relate it to the need for the information to be reported, supporting statements for new or substantially revised forms or requirements should include any significant data that may be available to the submitting agency on the expected burden on those being asked to supply the information. These may be data obtained through consultation with potential respondents or estimates of average cost based on previous experience. Cost in terms of manhours is preferred, and the source of the data should be indicated. Unless so directed, agencies are not to make special surveys for the purpose of satisfying this requirement.