

Chapter 1. POLICY AND COVERAGE

- 1-1. Policy. The Forms Management Program controls the development and distribution of forms throughout the Department. All Departmental forms are included in the program and must conform to the requirements prescribed in this Handbook and the Department's goals of:
- A. Increasing the efficiency of forms through proper design and the use of plain English.
 - B. Promoting cost-savings in all aspects of forms development and handling.
 - C. Eliminating and consolidating forms with similar uses.
 - D. Reducing and simplifying paperwork.
 - E. Ensuring that applicable laws, statutes, and regulations are applied in the design and use of forms.
- 1-2. Authority. The Forms Management Program is authorized by the Federal Information Resources Management Regulations (FIRMR), 41 CFR 201-45.104. Other governing authorities include:
- A. 44 U.S.C. Chapters 21, 29, 31, and 33 and National Archives and Records Administration (NARA) regulations 36 CFR Chapter XII (formerly 41 CFR 101-11) provide various controls on the creation, maintenance, and disposition of all official records, regardless of media.
 - B. The Paperwork Reduction Act of 1980, 44 U.S.C. Chapter 35, which calls for the coordination and integration of ADP, telecommunications, and records management policies.
 - C. HUD Handbooks and other publications:
 - 1. 2400.1, Information Resource Management Policies.
 - 2. 2400.3, Reports Analysis and Clearance.
 - 3. 0000.2, HUD Directives System.
 - 4. 1325.1, Privacy Act Clearance.
 - D. U.S. Postal Service Domestic Mail Manual, issue 40, governing the size and inscription on forms when used as mailing pieces.
 - E. Government Printing and Binding Regulations published by the Joint Committee on Printing, Congress of the United States.

1-3.Definitions.

- A. Form. A fixed arrangement of captioned spaces designed for entering and extracting prescribed information. This includes all paper forms, ADP systems forms, and Electronic forms.
- B. Electronic form. Those forms which reside on magnetic, optical, or video files. Characteristics of electronic forms include:
 - 1. Computer aided design and revision.
 - 2. Data is collected in an electronic format.
 - 3. Print on demand capabilities.
 - 4. Data may be added, changed, or deleted on screen/monitor to complete forms.
 - 5. User access is controlled by systems managers.
- C. Standard Form. A form prescribed by a Federal agency and approved by GSA for mandatory Governmentwide use. Standard Forms are identified by an "SF" prefix in the form number.
- D. Optional Form. A form developed by a Federal agency for use in two or more agencies and approved by GSA for non-mandatory Governmentwide use. Optional Forms are identified by an "OF" prefix in the form number.
- E. Public-use Form. A form that is used to gather information from ten or more members of the public or from State or local governments. This type of form requires approval by the Office of Management and Budget (OMB).
- F. Report Form. A form for collecting identical information from a number of persons or organizations either inside or outside the collecting agency. Reporting forms must be cleared in accordance with Handbook 2400.3, Reports Analysis and Clearance.
- G. HUD Form. Forms developed and prescribed by HUD. There are three classes of HUD forms:
 - 1. Controlled. Forms which must be registered and tracked within the Forms Management Program. Includes, but is not limited to:
 - a. Forms with a continuous annual use of 100 copies or more.
 - b. Information gathering or reporting forms (see HUD Handbooks 2400.1 and 2400.3).
 - c. Forms prescribed by an issuance, directive, or program procedure.
 - d. Forms maintained for official records.

2. Non-controlled. Forms which do not require registration or tracking. Examples are:
 - a. Forms with an annual use of less than 100 copies.
 - b. One-time use forms such as single use surveys.
 - c. Forms not required by any issuance, directive, or program procedure.
 - d. Forms not used for information gathering/reporting requirements and/or not distributed or stocked outside the originating office (such as log sheets, computation/work sheets, etc.).
 - e. Verification forms of limited use not stocked outside the originating office (such as change of address or subscription verification forms).
 - f. Electronic forms used solely as data input screens with no relation or similarity to a paper form.
3. Non-form. Any print product assigned a form number solely for purposes of stock/print/distribution management. Includes, but is not limited to, signs, instruction sheets, bulletins, pamphlets, notices, contract clause sheets, placards, certain tags and labels, guide letters, form letters, and maps. Non-forms are excluded from statistical reporting of forms, even though they may be numbered and controlled under the Forms Management Program.
 - I. Regional Form. Forms developed under the auspices of the Regional Forms Management Liaison Officers for HUD-internal use only within the Regional jurisdiction and not for reporting requirements.
 - J. Electronic Data Interchange (EDI). The computer-to-computer interchange of information in standardized formats.
 - K. Electronic recordkeeping. The operation of recordkeeping systems in which a machine interface is required for the user to create, work with, or delete records. Examples are records residing on magnetic tapes, disks and drums, video files, and optical disks.
 - L. Electronic signature. A controlled data element entered into a computer by an authorized person to indicate approval or certification of information associated with the data element in a computer file (in the same manner as a handwritten signature indicates approval or certification with information on paper).