

FEDERAL COMMUNICATIONS COMMISSION Washington, D.C. 20554 FCC DIRECTIVE	TITLE	
	FCC Forms Management Program	
	Directive Number: FCCINST 1116.1	Effective Date: August 2015

1. PURPOSE: This directive sets forth the Federal Communication Commission's ("Commission" or "FCC") policies, procedures, and responsibilities relating to the development and use of forms for official and authorized use in compliance with statutory and regulatory requirements.

2. SCOPE: The Commission's Forms Management program covers all the Commission's public-use forms and all internal-use forms used by more than one bureau or office. The policies and procedures set forth in this directive shall be followed by all managers and other staff with forms management responsibilities, including the authority to develop, edit, and administer new and revised forms.

3. AUTHORITIES:
 - a. The E-Government Act of 2002 (44 U.S.C. §3601)
 - b. Government Paperwork Elimination Act (44.U.S.C. §3504)
 - c. The Privacy Act of 1974 (5 U.S.C. §552a(e)(3))
 - d. The Paperwork Reduction Act (44 U.S.C. §§3501, *et seq.*) and the Office of Management and Budget's implementing regulations (5 C.F.R. §1320.3(c)(1); 5 C.F.R. §1320.3(f); 5 C.F.R. §1320.5(b)(2); and 5 C.F.R. §1320.S(h))
 - e. Section 508 of the Rehabilitation Act (29 U.S.C. 794d), *as amended by the Workforce Investment Act of 1998* (P.L. 105-220)
 - f. 44 U.S.C. Chapters 31 and 33 and the implementing regulations regarding Records Management by Federal agencies found at 36 C.F.R. Parts 1220 through 1238.

4. POLICY:

It is FCC policy to:

- a. Establish and maintain an Agency-wide forms management program to increase the usefulness and effectiveness of forms in fulfilling the Commission's mission;
- b. Ensure all forms are directly linked to accomplishing a specific mission of the Commission and are necessary for the efficient and economical operation of the Commission;
- c. Eliminate unnecessary and duplicate forms and consolidate existing related forms;
- d. Increase the usefulness of forms through effective design and clear instructions to make it as easy as possible for respondents to provide the information requested; and
- e. Ensure that forms, to the maximum extent possible, make effective and efficient use of electronic technologies for the creation, collection, distribution, and use of these forms and to record, store, and disseminate information entered on those forms.

5. RESPONSIBILITIES:

- a. The Managing Director is responsible to ensure that procedures are developed and implemented to carry out the agency's Forms Management Program in an efficient, effective and economical manner as prescribed by Federal statute, regulation, and policy.
- b. The Associate Managing Director for Performance Evaluation and Records Management (PERM) is responsible for the administration of the Commission's Forms Management Program, including establishing overall policies, procedures and goals. This includes:
 1. Providing guidance to the Bureaus and Offices to ensure compliance with all applicable legislation, regulations, standards, and guidelines of forms management, analysis and design;
 2. Ensuring that the Commission's public-use forms meet the statutory and regulatory requirements associated with the Paperwork Reduction Act (as amended by the Government Paperwork Elimination Act) and the Privacy Act, which includes acting as the Commission's liaison to the Office of Management and Budget in regard to forms associated with Paperwork Reduction Act information collections;
 3. Maintaining a current inventory of all Commission internal-use forms and ensuring the Commission's inventory of public-use forms is kept current on the Internet;
 4. Reviewing new and revised forms to ensure personally identifiable information is only collected when there is a clear need to advance the mission of the Commission or to follow statutory or regulatory mandates;
 5. Coordinating the clearance of forms with OMB, GSA, or other government agencies


when necessary and as required;

- c. The Associate Managing Director for Administrative Operations (AO) is responsible for the procurement and printing of approved forms, ensuring that printing requests for forms are fulfilled in a timely manner and do not exceed the AO budget for forms.
- d. The Chief of each Bureau and Office is responsible for:
 1. Designating a representative to act as liaison to PERM on all matters concerning public-use (FCC) and internal-use (“A”) forms for which the Bureau or Office is responsible;
 2. Ensuring all public- and internal-use forms are directly linked to accomplishing a specific mission of the Commission and can be demonstrably shown to be necessary for the efficient and economical operation of the Commission;
 3. When proposing any new form, providing a justification demonstrating why no existing form or data from existing forms could be used to accomplish the program mission;
 4. Conducting a review every three years to assess whether public- and internal-use forms the B/O originated still need to exist or if they can be eliminated or consolidated with other forms;
 5. Ensuring all forms are properly designed with clear instructions to make it as easy as possible for respondents to provide the information requested in the least amount of time;
 6. Ensuring that every form requesting Personally Identifiable Information (PII) contain the required Privacy Act disclosure notice;
 7. Ensuring all Commission public-use forms associated with information collections have the information required by 5 C.F.R. §§ 1320.6(a)(1), 1320.3(f) and 1320.5(b)(1) either on the form or in materials associated with the form;
 8. Ensuring that all Commission public-use forms are available via the Forms page on the Commission’s web site, and that the forms linked to that page are the current versions;
 9. Ensuring forms (whether in paper or electronic form) are created, maintained, and disposed of in conformance with the Commission’s Records Management Program;
 10. Ensuring PERM is promptly provided with a copy of every new or revised internal-use form, as well as notification when such forms are no longer used, so that a current inventory of such forms may be maintained; and

11. Responding promptly to any PERM notification regarding the need to replenish paper forms, and utilize Form A-100 to request printing from AO.

e. Forms Designers shall:

1. Design forms using software approved by the FCC and comply with applicable software end-user licensing agreements;
2. Incorporate plain language to the greatest extent possible in accordance with the OMB Final Guidance for the Plain Writing Act of 2010;
3. Ensure all requests to create, revise, and cancel forms containing PII contain the required Privacy Act statement; and
4. Ensure that forms are designed in an electronic format that conforms to applicable Section 508 Technical Standards to ensure ease of use by persons with disabilities, and promote electronic signature options in accordance with the Government Paperwork Elimination Act.


For Jon Wilkins
Managing Director