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# ADS Chapter 506

## Reports Management

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Functional Series 500 – Management Services  
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## ADS 506 – Reports Management

### 506.1 OVERVIEW

The USAID Reports Management program is designed to assist USAID managers in fulfilling their responsibilities while achieving efficiency, economy, and simplicity in reporting systems.

### 506.2 PRIMARY RESPONSIBILITIES

- a. **The Administrator**, USAID, is responsible for establishing Agency-wide policy and essential procedures for the Records Management Program, which presently incorporates Reports Management.
- b. **All Assistant Administrators, Mission Directors, Office Directors, Division and Branch Chiefs, and the Inspector General (IG) and General Counsel (GC)** are responsible for ensuring compliance with the provisions of this Chapter.
- c. **The Director, Bureau for Management, Office of Management Services (M/MS)** has overall responsibility for developing and implementing an Agency-wide program to manage all reports created, received, maintained, used, or required by the Agency.
- d. **The Chief, Bureau for Management, Office of Management Services, Information and Records Division (M/MS/IRD)** carries out the responsibility of the M/MS Director for the Office of Management Services. The Chief, M/MS/IRD, has general responsibility for implementing the Agency's records management program.
- e. **USAID/W Bureaus and Offices** are responsible for initiating action to establish new internal USAID reports or to revise existing requirements in their functional areas. M/MS/IRD is available to provide guidance to requiring offices ensuring adherence to the policies and essential procedures set forth in this Chapter.
- f. **Respondents** are responsible for providing comments, suggestions, recommendations, and constructive criticisms of proposed reports in a manner that can be readily evaluated by the requiring office. Correspondence is to be directed to the requiring office, with a copy to M/MS/IRD.

### 506.3 POLICY DIRECTIVES AND REQUIRED PROCEDURES

The statements contained within the .3 section of this ADS chapter are the official Agency policies and corresponding essential procedures.

#### 506.3.1 Reports Management Program

USAID shall establish and maintain an active, continuing program for controlling the

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creation, maintenance, and use of records, including internal and external reports.

Internal Reporting: Any report, one time or recurring, that does not have an external to USAID recipient (private party or U.S. Government agency) shall not be included in the reports management program inventory.

USAID must designate an Agency-level interagency reports liaison representative and an alternate and notify the General Services Administration (GSA) in writing.

Internal Reporting: Reporting offices must ensure that all applicable laws and statutes (e.g., Freedom of Information Act ([5 U.S.C. 552](#)), the Privacy Act of 1974, Federal Information Processing Standards (FIPS) ([40 U.S.C. 759\(f\); 15 CFR Part 6](#))) and regulations issued by National Archives and Records Administration (NARA) (36 CFR 12) are considered in the development of internal reporting requirements.

Requiring offices must:

- a) Ascertain that new or revised reports conform, as applicable, to the criteria. **(See [Reports Analysis](#))**
- b) Coordinate, with assistance from the Bureau for Management, Office of Management Services, Information and Records Division (M/MS/IRD), with respondents and users of reports during the development of the reporting requirements to ensure approval and to avoid costly modifications after issuance of the reporting requirement;
- c) Plan the report to ensure that it accomplishes the desired results. Requiring offices must evaluate the actions to be taken by respondents and users of the report, necessary forms or formats to be used for input, and the procedures and equipment required to process the data and distribute the information to users.
- d) Prepare specific and clear instructions for the preparation of the report so those respondents readily understand what data is required.
- e) Ensure that all report forms formats or instructions soliciting personal information contain pertinent statements required by the Privacy Act of 1974. **(See [ADS 508](#));**
- f) Ensure that clearances and approvals are obtained, including clearance by M/MS/IRD, particularly when a report establishes a file containing personal information on individuals;
- g) Submit to M/MS/IRD all requests for proposed public and interagency reports subject to clearance by OMB and GSA;

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- h) Apply reports analysis and control standards to intra-office reports;
- i) Maintain an inventory of intra-office reports and submit to M/MS/IRD upon request.

Respondents must:

- a) Determine whether or not the prescribing directive(s) or instructions for the report are clear and complete;
- b) Examine available data to determine if the data requested can be obtained by the required due dates and can meet other requested specifications; and
- c) Establish a calendar for assuring timely submission of proposed reports.

### **506.3.2 Interagency Reporting**

USAID must obtain GSA approval for each new, revised, or extended interagency report, prior to implementing the report.

USAID interagency reports and recordkeeping requirements shall be based on need, be cost effective, and comply with applicable laws and regulations as found in ADS Chapter 502. (See [ADS 502](#))

#### **506.3.2.1 Bureaus/Offices**

Requiring offices initiating new programs and major policy changes involving interagency reports are to request assistance from M/MS/IRD in defining and assessing related reports. Such requests are to be made at the earliest opportunity in the planning of new programs and major policy changes to assure development of cost estimates and appropriate interagency involvement and clearance.

#### **506.3.2.2 Clearance of Interagency Reports**

A request for clearance of an interagency reporting requirement is submitted by the Bureau/Office to M/MS/IRD 60 days prior to the effective date of the requirements using form SF 360, Request for Clearance of an Interagency Reporting Requirement. This form must be accompanied by supporting justification, including cost estimates, the directive prescribing the report, and a proposed form or format to be utilized. Instructions for completion of the form SF 360 and preparation of supporting

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documentation are contained in Instructions for Completing Standard Form 360. (**See [Instructions for Completing SF-360](#)**) If the requirement utilizes a printed USAID form, the essential procedures outlined in 505.3.1 of the Forms Management Services chapter are also followed. (**See [ADS 505](#)**)

### **506.3.3 Clearance of Public Reports (Collection of Information)**

M/MS/IRD shall coordinate with the Office of Management and Budget (OMB) to obtain proper approval for public reporting or the collection of information that is utilized to collect responses from public respondents.

Each Bureau or Office must submit the established and revised public reports and guidance (collection of information) to M/MS/IRD for submission to OMB for Review under Paperwork Reduction Act. (**See [5 CFR 1320](#)**)

Requesting OMB Review under the Paperwork Reduction Act:

**a)** Before Bureau/Office submits the paperwork to M/MS/IRD, its collection shall demonstrate that it has taken every reasonable step to ensure that the collection of information:

- Is the least burdensome necessary for proper performance of Agency functions to comply with legal requirements and achieve program objectives;
- Does not duplicate of information otherwise accessible to the agency;
- Has practical utility and seeks to minimize the cost of collecting, processing, and using the information, but shall not do so by means of shifting disproportionate costs or burdens onto the public;
- Is necessary to satisfy statutory requirements or other substantial need; and
- Is able to determine whether the burden of respondents can be reduced through the use of automated collection techniques or other form of information technology (i.e. permitting electronic submission of response). If so, Bureau/Office must coordinate with M/MS/IRD and Bureau for Management, Office of Information Resources Management (M/IRM) prior to implementing an automated collection system for compliance with the Paperwork Reduction Act of 1995.

**b)** If the collection of information has demonstrated the reasonable requirements in 506.3.3 para a, Bureau/Office request for OMB approval of a new plan or report form (collection of information) must be submitted to M/MS/IRD at least 90 days prior to the

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intended implementation date and include the following:

- The OMB 83-I Paperwork Reduction Act Submission, and any instructions to be sent to the respondents;
  - The proposed information collection item (forms, formats, etc.); and
  - Support statement to justify why the information collection is necessary and other related requirements for using it, and the regulatory authority for collection of the information, if any. The OMB 83-I shall be attached with instructions for requesting OMB Review under the Paperwork Reduction Act and supporting statement for Paperwork Reduction Act submissions.
- c)** If the report (collection of information) will utilize a printed or electronic USAID form, the policy and essential procedures in ADS Chapter 505, Forms Management, must be followed. (See [ADS 505](#))
- d)** Special consideration is to be given to elderly, visually impaired, and non English-speaking persons when designing forms for use outside of the Agency in accordance with the information contained in GSA Bulletin FPMR B-102.
- e)** Once M/MS/IRD completes its review and determines that OMB general requirements have been met, the Agency Records Officer signs the OMB 83-I forms and forwards it to OMB for action.
- f)** After OMB has completed the action, M/MS/IRD shall notify and give the Bureau/Office a hard copy of Notice of Office of Management and Budget Action.
- g)** If the action is denied by OMB, M/MS/IRD shall notify the Bureau/Office of the disapproval of collection of information by OMB.
- h)** If the collection of information is needed for overseas, USAID/W must determine which information collection will fall under existing collection of information in USAID/W. The collection instrument must contain the OMB number and expiration date before being sent to overseas for collection.
- i)** Each Bureau/Office shall implement an internal system for implementing the collection of information. Each Bureau/Office must:
1. Name a contact person to respond to inquiries about the questionnaires generated by the Bureau/Office;
  2. Advise M/MS/IRD of the name and telephone number of the contact person;

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3. Place the OMB number, the statement of Paperwork Reduction Notice, and expiration date on the collection instrument before dispatching it to the overseas area for collection;
  4. Maintain a copy of data collection and results in an appropriate place. If the collection is activity-specific, a copy must be placed in the official activity portfolio; and,
  5. Provide a copy of collection instrument on request.
- j)** There is no requirement to maintain a file copy for OMB inspection of questionnaires developed and collected in the fields.
- k)** If the collection of information does not fall under any existing information collection in USAID/W, a Bureau/Office must coordinate with M/MS/IRD to submit the paperwork to OMB for review.
- l)** If the Bureau/Office is requesting OMB approval for the revised collection of information, the Bureau/Office must contact M/MS/IRD to submit the paperwork.
- m)** If time for the collection of information needs to be extended, M/MS/IRD will notify the office 90 days prior to the expiration date of its collection and send for the paperwork to complete for submission to OMB Review under the Paperwork Reduction Act.

## **506.4 MANDATORY REFERENCES**

### **506.4.1 External Mandatory References**

- a. [40 U.S.C. 486\(c\) and 751\(f\)](#)
- b. [Paperwork Reduction Act of 1995](#)
- c. [5 CFR 1320](#)
- d. [Federal Property Management Regulation \(FPMR\) 101-11.103 and 101-11.200](#)
- e. [Freedom of Information Act 5 U.S.C. 552](#)
- f. [Privacy Act of 1974](#)
- g. [Federal Information Processing Standards \(FIPS\)](#)
- h. **Federal Records Act of 1950 - Paperwork Management**

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#### 506.4.2 Internal Mandatory References

- a. [ADS 502, The USAID Records Management Program](#)
- b. [ADS 505, Forms Management Program](#)
- c. [ADS 508, The USAID Privacy Policy](#)

#### 506.5 ADDITIONAL HELP

- a. [Instructions for Completing Standard Form 360](#)
- b. [Reports Analysis](#)

#### 506.6 DEFINITIONS

##### **burden**

The total time, effort, or financial resources expended by persons to generate, maintain, retain, or disclose or provide information to or for a Federal Agency. (Chapter 506)

##### **collection of information**

The obtaining, causing to be obtained, soliciting, or requiring the disclosure to an agency, third parties, or the public of information by or for an agency by means of identical questions posed, to, or identical reporting, record keeping, or disclosure requirements imposed on ten or more persons, whether such collection of information is mandatory, voluntary or required to obtain a benefit. (Chapter 506)

##### **interagency reporting**

A report form that has a reporting requirement to a Federal department or agency from one or more other Federal departments or agencies. (Chapter 506)

##### **internally required report**

A report required, prepared, and used within USAID. (Chapter 506)

##### **intra-office report**

A report prepared by one or more organizational units within a USAID Bureau, Office, or Mission, at the request of another organizational unit within the same Bureau, Office, or Mission. (Chapter 506)

##### **public reporting**

Any reporting or record keeping required from ten or more non-Federal Government businesses, institutions, groups or individuals. (Chapter 506)

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**recurring reports**

A report required by the Foreign Assistance Act and related legislation for which the Agency must gather, maintain, and submit information at established intervals or upon the occurrence of a specified event. (Chapters 506, [556](#))

**report**

A report is data or information transmitted for use in determining policy; planning, controlling, and evaluating operations and performance, and in making administrative determinations or preparing other reports. (Chapter 506)

**requiring office**

A USAID office initiating a reporting requirement or sponsoring a requirement imposed by an organization external to USAID. (Chapter 506)

**respondent**

A USAID office, individual, or other agency required to respond to a reporting requirement. (Chapter 506)

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