

DOE 1323.2B
4-9-92

THIS PAGE MUST BE KEPT WITH DOE 1323.2B, INTERAGENCY REPORTING
REQUIREMENTS.

DOE 1323.2B, INTERAGENCY REPORTING REQUIREMENTS
HAS REVISED DOE 1323.2A TO REFLECT ORGANIZATIONAL
TITLE AND ROUTING SYMBOL EDITORIAL CHANGES
REQUIRED BY SFN-6D-91. NO SUBSTANTIVE CHANGES
HAVE BEEN MADE. DUE TO THE NUMBER OF PAGES
AFFECTED BY THE REVISIONS, THE ORDER HAS BEEN
ISSUED AS A REVISION.

US. Department of Energy

Washington, D.C.

ORDER

DOE 1323.2B

4-9-92

SUBJECT: INTERAGENCY REPORTING REQUIREMENTS

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1. PURPOSE. To prescribe policy and procedures for establishing or responding to any requirement that involves a report to an Agency from one or more other Agencies.
 2. CANCELLATION. DOE 1323.2A, INTERAGENCY REPORTING REQUIREMENTS, of 2-2-83.
 3. REFERENCES.
 - a. Federal Property Management Regulations (FPMR), Subpart **101-11.11**, "**Interagency** Reports Management Program," which prescribes the management and operation of the interagency reports management program.
 - b. The Paperwork Reduction Act of 1980 (Public Law 96-511, 44 U. S. C., section 3501 et. seq.), which provides instruction on the clearance of the collection of information.
 - c. DOE 1323.3A, INTERNAL REPORTS MANAGEMENT, of 4-9-92, which prescribes policy and procedures for establishing and responding to reports used within the Department of Energy (DOE).
 - d. DOE 1322.2C, FORMS MANAGEMENT, of 10-22-91, which provides guidance and instructions for complying with the clearance provisions in the design, preparation, and approval of the Department's reporting forms.
 - e. Title 44 U.S.C., The Federal Records Act, chapters 29, 31, and 33, which outlines records management programs for the Administrator of General Services Administration and Federal Agencies.
 - f. General Services Administration (GSA), National Archives and Records Service, "Guide to Estimating Reporting Costs," which contains instruction on how to estimate costs of reports. GSA has assigned responsibility for interagency reports to the Automatic Data and Telecommunications System (ADTS), referred to throughout this Order as GSA/ADTS .
 - g. Office of Management and Budget (OMB) Circular A-40, "Clearance of Public Reporting and Recordkeeping Requirements Under the Federal Reports Act," which implements the Federal Reports Act.
 - h. DOE 1800.1A, PRIVACY ACT, of 8-31-84, which established requirements for the collection, maintenance, and dissemination of personal information by Federal Agencies.

DISTRIBUTION:

All Departmental Elements

INITIATED BY:

Office of Information
Resources Management

4. DEFINITIONS.

- a. Energy Information. (1) All information in whatever form on fuel reserves, exploration, extraction, and energy resources (including petrochemical feed stocks) wherever located; production, distribution, processing, transportation, consumption, and end use of energy and fuels wherever carried on; and (2) matters relating to energy fuels, such as corporate structure and proprietary relationships, costs, prices, capital investment, and assets, and other matters directly related thereto, wherever they exist.
- b. Interagency Report. Any requirement that involves a report to an Agency from one or more other Agencies covered by the Federal Records Act.
- c. Report. Data or information which is transmitted for use in: determining policy; planning, controlling, and evaluating operations and performance; making administrative determinations; or preparing other reports. The data or information may be in narrative statistical, graphic, or other form and may be displayed on paper, magnetic tapes, or other media.

5. POLICY.

- a. General Policy. That section of the Federal Records Act, as implemented by OMB Circular A-40, and the Federal Property Management Regulation 101-11.11, requires that interagency reporting requirements be submitted to GSA/ADTS for approval prior to implementation.
- b. DOE Policy. Interagency reporting requirements to be imposed by DOE shall be submitted to the Office of Information Resources Management (AD-20), DOE Interagency Reports Coordinator, Office of Information Resources Management Policy, Plans and Oversight (AD-24), for review and transmission to GSA/ADTS for approval. The Department shall not respond to an interagency reporting requirement that has not been assigned an interagency report control symbol by GSA/ADTS.

6. OBJECTIVES.

- a. To establish and implement effective management controls over interagency reporting requirements imposed by DOE based on an objective cost effectiveness evaluation of each requirement.
- b. To prevent the duplication of interagency reporting requirements (imposed by DOE) in the planning of all new and revised programs and policy implementations.
- c. To establish and maintain records of the origin, cost, currency, and cancellation of interagency reports and to provide such information to management, report originators, and respondents.

7. RESPONSIBILITIES AND AUTHORITIES.

a. Heads of Departmental Elements shall:

- (1) Designate a reports coordinator for their respective organizations who will be responsible for the review of interagency reporting requirements. Reviews shall be in accordance with the requirements and procedures set forth in this Order.
- (2) Refer requests for new or revised DOE interagency reports to the DOE Interagency Reports Coordinator.
- (3) Refer reporting requirements or requests for cost estimates for proposed reports received from other Agencies to the DOE Interagency Reports Coordinator; respond to the requests or requirements as directed by that official.
- (4) Notify the DOE Interagency Reports Coordinator of interagency reports that are canceled.

b. Administrator, Energy Information Administration, shall (in addition to the responsibilities cited in paragraph 7a), concur in DOE interagency reporting requirements and respond to other Agency reporting requirements relating to the gathering, analysis, and dissemination of energy information.

c. Director of Administration and Human Resource Management shall:

- (1) Assure that policies and procedures for establishing or responding to interagency reporting requirements are developed and administered.
- (2) Designate an official to serve as DOE's Interagency Reports Coordinator.

d. Director of Information Resources Management, through the DOE Interagency Reports Coordinator, shall:

- (1) Assure that new and revised interagency reporting requirements to be imposed by DOE are developed in accordance with:
 - (a) Reports management and costing guidelines issued by GSA/ADTS.
 - (b) DOE's mission and responsibilities.
 - (c) Provisions of the Freedom of Information and Privacy Acts and applicable Federal information processing standards.

- (2) Solicit assistance as appropriate from the Office of Records Management, GSA/ADTS, in defining and assessing each new and revised interagency reporting requirement to be imposed by DOE.
 - (3) Assure that coordination is effected with responding agencies on each proposed new and revised interagency reporting requirement to be imposed by DOE.
 - (4) Assure that new or existing DOE interagency reporting requirements do not duplicate other reporting systems and that all such requirements are cost effective.
 - (5) Assure that DOE and other Agency interagency reporting requirements relating to the gathering, analysis, and dissemination of energy information are coordinated with the Administrator, Energy Information Administration.
 - (6) Assign responsibility for preparing consolidated responses to written requests from requiring Agencies for cost estimates for interagency reporting requirements when more than one DOE organization is required to respond.
 - (7) Inform the Office of Records Management, GSA/ADTS, of any interagency reporting requirements received from requiring Agencies that do not contain a GSA/ADTS control number.
 - (8) Maintain and distribute to DOE organizations, at least periodically, an inventory of interagency reports imposed by or to which DOE must respond.
8. ESTABLISHING INTERAGENCY REPORTING REQUIREMENTS. An organization which plans to initiate a program or policy change which would require a new interagency reporting requirement or cause a major change to an existing one shall:
- a. Submit, through the DOE Interagency Reports Coordinator, at least 30 days prior to the proposed effective date, a formal request for clearance of the reporting requirement. The request shall contain:
 - (1) A completed SF-360, "Request for Clearance of an Interagency Reporting Requirement." (See Attachment 1.) The DOE interagency Reports Coordinator signs item 10 of the form prior to submission of the request to GSA/ADTS.

- (2) A cost estimate developed in accordance with the GSA/ADTS "Guide to Estimating Reporting Costs" and summarized on DOE F 1323.2, "Worksheet for Estimating Reporting Costs" (Attachment 2). Item 9 of SF-360 will be completed based on the cost effectiveness analysis. (A copy of the GSA/ADTS guide can be obtained from AD-24.) The summary worksheet must be supported by working papers which show the detailed computations of the estimate and the source and basis of data computations. (Note: DOE F 1323.3 and the working papers are retained by the originating organization. However, copies shall be furnished to the interagency reports coordinator.)
 - (3) A statement of supporting justification. The statement shall justify the reporting requirement in terms of cost effectiveness and value to management. The costs of the requirement (i.e., developmental, operational, and user costs) shall be evaluated and justified in terms of increased productivity, more timely services, better quality in output, or reduced costs.
 - (4) The proposed directive, if appropriate, that will prescribe the reporting requirement.
- b. Conduct a sampling of responding Agencies to provide a basis for estimating reporting cost and to validate the method of data collection. The result of the sampling shall be submitted with the request.
 - c. Develop plans for pilot testing the system prior to full implementation if the reporting requirement necessitates development of a major information system. A copy of the plan must be submitted with the clearance request.
 - d. Comply with the provisions of DOE 1800.1A, PRIVACY ACT, of 8-31-84, if the proposed requirement is part of a new or revised "system of records" which involves collection of personal information on individuals when DOE is the requesting Agency.

9. WAIVER OF REPORTING REQUIREMENT JUSTIFICATION.

- a. If the DOE organization cannot comply with all of the provisions of the justification requirements in paragraph 8a(2), the submission of the complete cost-effectiveness justification may be waived when, if in the judgment of GSA, it would be in the interest of the Government to do
A letter should be prepared explaining the need for the report and providing the reason for the waiver request and submitted instead of the justification statement with SF-360 to the DOE Interagency Reports Coordinator. The request shall include a single summary cost figure in item 9 on the SF-360.

- b. The request for waiver will be responded to within 5 workdays after its receipt. If the request for waiver is denied, the justification statement shall be prepared under the procedures established on page 5, paragraph 8a(2).
10. EXEMPTIONS. The following interagency reporting requirements are exempted from the clearance requirements by FPMR 101-11.1107-1. (However, interagency reporting requirements that may be developed by DOE to respond to an exempted requirement are subject to the clearance provisions of this directive (e.g., a Presidential requirement for information which necessitates the obtaining of data from other Agencies).)
- a. Legislative branch requirements in statutes or congressional committee requests.
 - b. Judicial branch requirements in court orders or other judicial determinations.
 - c. Presidential requirements in Presidential directives.
 - d. OMB budgetary, program review and coordination, and legislative clearance requirements.
11. INTERAGENCY PUBLIC REPORTS.
- a. Statistics of General Public Interest. An interagency reporting requirement which requires approval by the Office of Management and Budget (i.e., because the information to be collected is to be used for statistical compilations of general public interest) shall be submitted through the Administrator, Energy Information Administration, and the DOE Interagency Reports Coordinator to GSA, using SF-360. After OMB review and approval, the proposed requirement will be transmitted to GSA/ADTS for further action.
 - b. Collection of Information from the Public by Responding Agencies. An interagency reporting requirement which necessitates collection of information from the public by responding Agencies shall be submitted through the Administrator, Energy Information Administration, and the DOE Interagency Reports Coordinator to GSA/ADTS using SF-360 for approval. The request must be annotated by the Administrator, Energy Information Administration, to indicate that a public reports clearance request has been forwarded to OMB or the General Accounting Office, as applicable, for approval. This procedure precludes generation of multiple requests for public reporting approval by various responding Agencies covering the same requirement.

12. EXPIRATION DATES AND EXTENSIONS. Each approved reporting requirement shall be assigned an expiration date by GSA/ADTS. The expiration date usually shall be 3 years from the origination of the reporting requirement, contingent upon the particular report. A request for an extension beyond a scheduled expiration date shall be made on SF-360 and forwarded with a supporting justification through the interagency reports coordinator to GSA at least 30 days before the expiration date.
13. DISCONTINUATION OF AN INTERAGENCY REPORT. Whenever an interagency report is no longer needed, the requiring DOE organization shall issue a written notice to all responding Agencies and the DOE Interagency Reports Coordinator. The DOE Interagency Reports Coordinator shall forward a copy to GSA/ADTS.
14. APPEAL PROCEDURE. A DOE requiring or responding organization which questions a decision by GSA/ADTS on an interagency clearance or waiver request shall consult with the DOE Interagency Reports Coordinator and jointly decide the most appropriate appeal action to take.
15. RESPONDING TO INTERAGENCY REPORTING REQUIREMENTS IMPOSED BY OTHER AGENCIES. All reporting requirements or requests for cost estimates concerning a proposed reporting requirement received directly by DOE organizations from other Agencies must be submitted to the DOE Interagency Reports Coordinator.
 - a. Each organizational reports coordinator will:
 - (1) Assure that any reporting requirement imposed has been approved by GSA/ADTS and submit those that have not been approved to the DOE Interagency Reports Coordinator.
 - (2) Determine whether the data are already available for complying with the requirement or request.
 - (3) Assure that requests for cost estimates or reporting requirements are processed expeditiously.
 - b. The DOE Interagency Reports Coordinator will:
 - (1) Assign responsibility for the preparation of consolidated responses when appropriate.
 - (2) Contact the appropriate DOE organization(s) to provide data for the response.
 - (3) Maintain an inventory of all recurring interagency reporting requirements to which DOE must respond.

16. INVENTORY OF INTERAGENCY REPORTS. An inventory of interagency reports imposed by or to which DOE must respond is issued at least semiannually and distributed to all Departmental Elements.

BY ORDER OF THE SECRETARY OF ENERGY:



JOHN J. NETTLES, JR.
Director of Administration
and Human Resource Management

REQUEST FOR CLEARANCE OF AN INTERAGENCY
REPORTING REQUIREMENT

REQUEST FOR CLEARANCE OF AN INTERAGENCY REPORTING REQUIREMENT		1. FOR GSA USE																
INSTRUCTIONS Submit original and one copy together with one copy each of the proposed report, supporting directive and justification statement to GSA, NARS, Office of Records Management. See FPMR (CFR 41) 101-11.11 for further instructions.		a. Interagency Report Control No.																
		b. Currently assigned expiration date																
2 NAME, ADDRESS AND ZIP CODE OF REQUESTING AGENCY John H. Smith Outage Coordinator, AD-1042 Forrestal Building, Room 4B-233 1000 Independence Avenue, SW Washington, DC 20585	3 TITLE OF PROPOSED REPORTING REQUIREMENT Federal Energy Outage Report																	
4 TYPE OF REQUEST a <input checked="" type="checkbox"/> NEW b <input type="checkbox"/> REVISION c <input type="checkbox"/> EXTENSION (No change) d <input type="checkbox"/> WAIVER	5 FREQUENCY OF USE a <input type="checkbox"/> SINGLE TIME b <input type="checkbox"/> ON OCCASION c <input type="checkbox"/> WEEKLY d <input type="checkbox"/> MONTHLY	6 REVISIONS AND EXTENSIONS a. Currently assigned Interagency Report Control No. b. Currently assigned expiration date:																
7 CANCELED OR MODIFIED REPORTS OR FORMS (List by title and Interagency Report Control No. or OMB Approval Number any Reports, and Forms to be canceled or modified by this Interagency Report) None																		
8 SUMMARY OF ESTIMATED REPORTING WORKLOAD <table border="1"><tr><td>a. Number of responding agencies</td><td>10</td></tr><tr><td>b. Number of times this report submitted annually by each responding agency</td><td>1</td></tr><tr><td>c. Total number of reports submitted annually (a X b) (Items d and e apply to Interagency Reports only)</td><td>10</td></tr><tr><td>d. Average number of man hours required to prepare and transmit one report</td><td>23</td></tr><tr><td>e. Total number of man hours required to prepare and transmit reports annually (c X d)</td><td>230</td></tr></table>			a. Number of responding agencies	10	b. Number of times this report submitted annually by each responding agency	1	c. Total number of reports submitted annually (a X b) (Items d and e apply to Interagency Reports only)	10	d. Average number of man hours required to prepare and transmit one report	23	e. Total number of man hours required to prepare and transmit reports annually (c X d)	230						
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9 SUMMARY OF ESTIMATED REPORTING COSTS <table border="1"><thead><tr><th></th><th>REQUIRING AGENCY (Col. 1)</th><th>RESPONDING AGENCIES (Col. 2)</th><th>TOTAL (Col. 1+2)</th></tr></thead><tbody><tr><td>a. Developmental costs</td><td>\$ 2,500</td><td>\$ 0</td><td>\$ 2,500</td></tr><tr><td>b. Annual operational costs</td><td>XXXXXXXX</td><td>\$ 5,000</td><td>\$ 5,000</td></tr><tr><td>c. Annual user costs</td><td>\$ 6,000</td><td>XXXXXXXX</td><td>\$ 6,000</td></tr></tbody></table>				REQUIRING AGENCY (Col. 1)	RESPONDING AGENCIES (Col. 2)	TOTAL (Col. 1+2)	a. Developmental costs	\$ 2,500	\$ 0	\$ 2,500	b. Annual operational costs	XXXXXXXX	\$ 5,000	\$ 5,000	c. Annual user costs	\$ 6,000	XXXXXXXX	\$ 6,000
	REQUIRING AGENCY (Col. 1)	RESPONDING AGENCIES (Col. 2)	TOTAL (Col. 1+2)															
a. Developmental costs	\$ 2,500	\$ 0	\$ 2,500															
b. Annual operational costs	XXXXXXXX	\$ 5,000	\$ 5,000															
c. Annual user costs	\$ 6,000	XXXXXXXX	\$ 6,000															
10 SIGNATURE OF INTERAGENCY REPORTS COORDINATOR John H. Smith		DATE 10-28-82																
FOR GSA USE																		
11 DISPOSITION OF REQUEST BY GSA, NARS, OFFICE OF RECORDS MANAGEMENT		REMARKS																
a. <input type="checkbox"/> APPROVED b. <input type="checkbox"/> DISAPPROVED (See attachment) c. <input type="checkbox"/> RECOMMENDED MODIFICATION (See attachment)																		
12 SIGNATURE OF INTERAGENCY REPORTS MANAGEMENT OFFICER		DATE																

WORKSHEET FOR ESTIMATING REPORTING COSTS

DOE F 1323.3
(6-80)DEPARTMENT OF ENERGY
WORKSHEET FOR ESTIMATING REPORTING COSTS

(See GSA/NARS "Guide to Estimating Reporting Costs" for instructions to follow in completing this form.)

REPORT SYMBOL (assigned by Reports Control)	REPORT TITLE	ESTIMATE PREPARED BY	DATE
	Interagency Report	Jane Doe (AD-241)	10-28-82

FACTORS		COSTS (\$)				
REPORTING CATEGORIES	REPORTING ACTIVITIES	WORK HOURS (a)	DIRECT PERSONNEL (including overhead) (b)	DIRECT EQUIPMENT & MATERIAL (c)	OTHER DIRECT COSTS (d)	TOTAL (b+c+d)
IS031VJ.N3WJD013A30	1. Specification of Reporting Requirement	9	2,000			2,000
	2. Analysis of Reporting Requirement	25	7,000			7,000
	3. Design of Reporting System	20	48,000			48,000
	4. Installation of Reporting System	98	22,000	7,000	1,200	30,200
	5. DEVELOPMENT COSTS	312	79,000	7,000	1,200	87,200
ISW1VNO11VJ3d0	6. Data Collection		12,000	3,000	00	15,000
	7. Data Processing	150	00	8,500	00	8,500
	8. Data Transmission	22	6,500		500	7,000
	9. Operational Costs for One Report		\$(68,100)			\$136,200
10. ANNUAL OPERATIONAL COSTS						
.smki3n	11. Refining, Interpreting and Analyzing Information Received		00		500	00
	12. Reading, Reviewing, Discussing and Documenting Information Presented	22	6,000		1,400	7,400
	13. User Costs for One Report					12,600
	14. ANNUAL USER COSTS		\$(12,600)			\$25,200

