



U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

National Policy

ORDER
1330.1B

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SUBJ: FAA Forms Management Program

This policy establishes the objectives, responsibilities, standards and requirements for managing all forms prescribed and controlled within the FAA Forms Management Program. Knowledge of this policy will assist agency employees in understanding the role of forms in accomplishing the work that supports the mission of the FAA and ensure compliance with applicable federal laws and regulations.

The FAA Forms Management Program promotes efficiency and transparency through incorporation of cost-effective processes that reduce duplication and ensure regulatory compliance in support of the Paperwork Reduction Act of 1980 (PRA) and Government Paperwork Elimination Act of 1998 (GPEA). In support of these mandates, forms will be made available in electronic format, to the extent possible and as deemed appropriate for business use.

FAA Lines of Business (LOB), Staff Offices (SO), Regions and Centers are responsible for Forms Management activities within their respective operational areas and will ensure that document-type forms will be transitioned from a paper-based system to an electronic system using secure Portable Document Format (PDF). They are required to adhere to the policy contained in this order when using, issuing, creating, distributing, processing or maintaining forms and in the establishment and implementation of internal business processes that support the FAA Forms Management Program.

A handwritten signature in black ink, appearing to read "Tina Amereihn".

Tina Amereihn
Deputy Assistant Administrator for Information Services
and Chief Information Officer

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Chapter 1. General Information

- 1. Purpose of this order.** This policy prescribes the FAA Forms Management Program for managing all authorized forms controlled by the agency.
- 2. Audience.** All levels of agency personnel who create, use, collect, maintain, control and disseminate forms must comply with this policy. Management will ensure that appropriate personnel are aware of, and adhere to, the policies, responsibilities, and procedures contained in this Order.
- 3. Where Can I Find This Order?** You can find this order on https://employees.faa.gov/tools_resources/orders_notices/ or public website; http://www.faa.gov/regulations_policies/orders_notices/.
- 4. What This Order Cancels.** FAA Order 1330.1A, Forms Management, dated May 9, 1973.
- 5. Explanation of Changes.** This current edition reflects major changes that have occurred since the last revision, including:
 - a. Establishment and implementation of an electronic environment to conduct agency business through the use of personal computing, electronic messaging, and Internet access.
 - b. Establishment of the FAA Forms website, an electronic on-line web application that maintains a database of all official forms authorized for use by the FAA Forms Management Program.
 - c. Definitions for terminology used in the FAA Forms Management Program to include common-use vocabulary for technology standards in the electronic environment.
 - d. Implementation of a forms management business process within each Line of Business, Staff Office, Region and Center that enhances enterprise-wide economy and efficiency.
 - e. Requirement for alternate designees to be assigned to all Forms Management Officers (FMO), to assume program duties in the absence of the primary officer.
 - f. Current organizational titles, routing symbols, and Offices of Primary Responsibility (OPR).
 - g. Current authorities, policies and references.
- 6. Definitions for Terminology Used in the FAA Forms Management Program.** Additional definitions for terminology which are specific to certain procedures or processes are contained within those subject chapters.
 - a. **Form.** A form is an item in paper or electronic medium that is used to standardize and simplify the collection, presentation or entering of information. For collection purposes, the format is usually a fixed arrangement of captioned spaces, lines or boxes designed for entering and extracting the prescribed information for the purpose of gathering, organizing and transmitting information quickly and efficiently. Document type forms that collect information may include, but are not

limited to: form letters, memorandums, work sheets, and certificates. Form items without fill-in spaces may include contract provisions, instruction sheets, notices, tags, labels, envelopes, self-mailers, postcards, and posters. Forms that present information are used as controlled forms for purposes of reference, printing, stocking, distribution, and use with other forms. Forms are issued based on the program and organizational need that is determined by the originating office, referred to as the OPR, and should be efficient, economical, and kept to a minimum to reduce burden and costs to the agency and public.

b. **Electronic Form.** A format that is designed using computer software to create screen-fillable data entry forms via personal computers. Many of these types of forms are downloadable from on-line government websites; for example, FAA Forms, General Services Administration (GSA) Forms Library and Office of Personnel Management (OPM) Forms. Links to external agency forms websites are provided on the FAA Forms website home page. Most of these types of forms will have the capability for printing, saving, digitally signing, distributing and tracking through electronic means.

(1) The agency standard format for FAA electronic forms is Portable Document Format (PDF/.pdf). The PDF format maintains the fidelity and integrity of forms for secure use, metadata preservation, backup and retrieval. Agency PDF forms are required to be Section 508 compliant and written to Plain Language regulations.

(2) All forms currently utilizing Microsoft Word (.doc or docx) or Microsoft Excel (.xls or .xlsx) formats must be converted to PDF. Exemptions to this requirement may be granted to certain forms that relate to matters of safety or security and where the PDF format is not conducive to meeting specific business needs.

(3) To qualify for an exemption, the Office of Primary Responsibility will provide justification to the Forms Program Manager and a review will be performed to determine whether an exemption may be granted for an alternate format. All such requests will be reviewed for approval on a case-basis.

(4) If approved, Microsoft documents must adhere to the same requirements set forth for creation and management of PDF documents and must be password protected for security. To the extent possible, document-type forms will be available to users in an electronic format.

c. **Portable Document Format (PDF).** PDF is an open standard for electronic document exchange. This file format is used for representing documents in a manner independent of application software, hardware, and operating systems. Each PDF file encapsulates a complete description of a fixed-layout flat document, including the text, fonts, graphics, and other information needed to display it. When sharing information across platforms, a PDF file will look exactly like the original document, preserving text, layout, drawings, 3D graphics, full-color graphics, photos, source file information and business logic, regardless of the application used to create the PDF or the operating system on which the PDF will be viewed.

d. **Government Standard Form.** A Standard Form (SF) is prescribed by a Federal agency, such as the OPM or GSA, for mandatory use by other agencies.

e. **Government Optional Form.** An Optional Form (OF) is provided by one agency for optional use by other agencies.

f. **Government Agency Form.** Government agency forms are prescribed for use by legislation or regulation. They include forms of the Office of Personnel Management (OPM), Department of Labor (DOL), United States Department of the Treasury (U.S. Treasury), Internal Revenue Service (IRS), National Transportation Safety Board (NTSB), and other oversight agencies. These forms are identifiable by organizational prefix.

g. **DOT Form.** Department of Transportation forms (DOT) are provided for Department-wide and by component agencies, or by the public.

h. **FAA Form.** FAA Forms are developed within the agency and approved by the FAA Forms Program Manager. These forms are designed to obtain or provide structured information common to the needs of two or more Headquarters or FAA field organizations. FAA forms are provided by headquarters offices for agency-wide use or for use by the public. Only FAA forms are maintained in the FAA Forms website. Links to other government forms websites are provided on the home page of the FAA Forms website. Additional information on the FAA Forms website is located in paragraph 6.ff of this order.

i. **Regional or Center Form.** These forms are prescribed by a regional office or center for use within its operational area. These forms carry the regional or center identifier as prefixes, such as “CE” for Central Region, “AC” for Mike Monroney Aeronautical Center, and “NE” for New England Region, etc. to identify these forms. Some AC forms may be used agency-wide or by the public if the forms implement functional responsibilities assigned to the Aeronautical Center.

j. **Washington Headquarters Form.** Headquarters forms are prescribed by headquarters offices for general use by more than one headquarters organization. The prefix “WA” identifies these forms.

k. **Washington Office Form.** Washington office forms are prescribed for use only within the office identified by the organization prefix of the office or service, for example: “AT”, “FS”, and etc.

l. **Internal Form.** These are forms prescribed for use entirely within an agency and are not available to the public.

m. **Public-Use Form.** These are forms used by the general public, including that portion of the public termed “designees or representatives of the Federal Aviation Administration.” These forms MUST receive approval from the Office of Management and Budget (OMB) prior to the collection of information from the public.

n. **Restricted Form.** Some forms have restricted access due to their sensitivity or security designation, or are in limited use. The FAA Forms website provides a Document Information page for all forms, including restricted, and the user/customer must contact the listed poc to request a copy of restricted forms directly from the issuing office.

o. **Continuous-Use Form.** These are forms to remain in effect indefinitely. Most agency forms are in this category.

p. **One-Time-Use Form.** These are forms to be used one time only. Examples are surveys or posters used for a date-specific event.

q. **Overprints.** These are non-electronic FAA forms which are already in use and are overprinted for local use to reduce preparation time or to enhance uniformity of entries. Overprints require approval from the OPR of the original form. For example, an FAA form may be overprinted with certain regional or center information, such as routing symbols, building numbers, and similar identifiers to increase efficiency for local use. The content and format of the original form cannot be revised or changed in any manner; the overprint can only add information to the original form. Reference Chapter 5, Paragraph 6.b. (3) for details.

r. **Revision of Forms.** Any change in content, format, or physical characteristics is considered a revision to a form. This includes renumbering, rewording, addition or deletion of a National Stock Number (NSN), paper size, weight, etc. At the time a form is considered for possible revision, the OPR should evaluate whether the need continues to exist for provision of the form. Infrequent customer requests may warrant consideration for cancellation.

s. **Cancellation of Forms.** When a policy is canceled, all forms prescribed from that policy, are also canceled, effective on the date of policy cancellation. Canceled forms are not accessible in the FAA Forms website. Forms may also be canceled if the customer need for its use ceases to exist.

t. **Reprints.** Reprints are non-electronic forms reprinted for the replenishment of stock at distribution points. They may not be changed in content, format, or physical aspect.

u. **Exclusive-Use Form.** This is a form that is not controlled in the Forms Management Program because it is created for use solely by the employees within an organization and is not used by anyone external to that organization. As such, these forms are not available in the FAA Forms website. These forms are created, managed, maintained, stocked and distributed by the organization. Examples of such forms include worksheets that are used to track time and attendance prior to upload in a payroll system; check lists that track office business activity such as projects, internal quality control; and other similar type documents.

u. **Forms-Prescribing Policy.** The use of all forms will be prescribed by appropriate FAA or Government Policy. In most cases this will be in the form of an FAA Directive (Order or Notice) but may also include other policy formats such as Advisory Circulars, FAA Manuals, and Human Resource Policy Manuals (HRPM). Government Regulations, Executive Orders and Memorandums may also prescribe policy for forms use. Agency policy will establish the basis for use of the form and provide instructions for preparation, submittal and copy distribution.

v. **Office of Primary Responsibility (OPR).** An OPR is an office or service in Washington Headquarters, or a staff, directorate or division in a Center or Region that is the sole authority that can change, edit or otherwise revise their form. A form user/customer may not alter, change or modify

any official FAA form in content, format or other manner. If a change is desired, the user/customer will contact the OPR to submit the proposed changes for their review. Acceptance or implementation of submitted suggestions is the discretion of the OPR. The FAA Forms Program Manager is the final authority to approve the revised form for official agency use and control in the FAA Forms Management Program. OPRs are responsible for:

- (1) Prescribing form use through official policy
- (2) Creating the form in a fillable PDF format; password protection must not be used or customers will not be able to access it
- (3) Maintaining form currency
- (4) Providing electronic form information and availability via the FAA Forms website or, if the form is non-electronic, other physical means of distribution
- (5) Consideration of any suggested changes or modification to a form that is submitted to them by the form user/customer

w. **Forms Management Officers (FMO) and Alternates.** Individuals designated by the Head of each Line of Business (LOB), Staff Office (SO), Region or Center to carry out the responsibilities of the agency Forms Management Program within the operational areas of their specific LOB, SO, Region or Center.

x. **Forms Distribution.** Electronic forms are downloadable from the FAA Forms website (with the exception of restricted forms). Forms in other formats will follow a distribution process comprised of the following activities:

- (1) Management of the supply of forms
- (2) Determination of stock
- (3) Replenishment requirements
- (4) Preparation and routing of requisitions
- (5) Maintaining and accounting for stocks
- (6) Shipments or issuances
- (7) Identification and disposition of excess and obsolete stocks

y. **Distribution Point.** The form's distribution point manages the supply of forms, including the determination of stock replenishment requirements, maintenance of stock, and identification and disposition of obsolete stock.

z. **National Stock Number (NSN).** A National Stock Number is the official label applied to an item of supply that is repeatedly procured, stocked, stored, issued, and used throughout the federal supply system. It is a unique item identifying series of numbers. When a NSN is assigned to an item of supply, data is assembled to describe the item. Some data elements include information such as an item name, form number, manufacturer's part number, unit price, physical and performance characteristics, etc. NSNs are an essential part of the agency logistics supply chain used in managing, moving, storing, and disposing of material, including forms. The use of NSNs facilitates the standardization of item names, supply language, characteristics and management data, and aids in the reduction of duplicate items in the federal inventory. All forms stocked in the FAA Logistics Center (FAALC) will be issued an NSN for supply inventory purposes.

aa. **Key Word.** A significant or descriptive word used as a reference point for finding other words or information. For the purpose of this order, it is mainly used to index, sort or compile information in the FAA Forms website.

bb. **Form User/Customer.** Individuals authorized to use FAA forms in support of agency requirements. This includes federal employees, contract personnel, the global public, corporations, aerospace industry personnel, government agencies, etc.

cc. **Office of Management and Budget (OMB).** The Office of Management and Budget is a Cabinet-level office and is the largest office within the Executive Office of the President of the United States. OMB's predominant mission is to assist the President in overseeing the preparation of the federal budget and to supervise its administration in Executive Branch agencies. In helping to formulate the President's spending plans, OMB evaluates the effectiveness of agency programs, policies, and procedures, assesses competing funding demands among agencies, and sets funding priorities. OMB ensures that agency reports, rules, testimony, and proposed legislation are consistent with the President's Budget and with Administration policies. OMB oversees and coordinates the Administration's procurement, financial management, information, and regulatory policies. In each of these areas, OMB's role is to help improve administrative management, develop better performance measures and coordinating mechanisms, and reduce any unnecessary burdens on the public.

dd. **Paperwork Reduction Act (PRA) and Information Collection.** The PRA established the Office of Information and Regulatory Affairs (OIRA), in OMB, and assigned OIRA the authority to administer all functions of the PRA to establish a process for review and approval of information collections from the public. Pursuant to the PRA, all new information collections subject to the PRA must be submitted to OMB. Clearance must be obtained regardless of whether the collection is voluntary or mandatory. The purpose is to:

(1) Minimize the paperwork burden for individuals, small businesses, educational and nonprofit institutions, federal contractors, state, local and tribal governments, and other persons resulting from the collection of information by or for the federal government

(2) Ensure the greatest possible public benefit from and maximize the utility of information created, collected, maintained, used, shared and disseminated by or for the federal government

(3) Improve the quality and use of federal information to strengthen decision making, accountability, safety, security and openness in government and society

(4) Minimize the cost to the federal government of the creation, collection, maintenance, use, dissemination, and disposition of information

(5) Ensure the integrity, quality, and utility of the federal statistical system

ee. **OMB Statement.** The OMB statement on public use forms must, by law, inform and provide reasonable notice to the potential persons to whom the collection of information, including Personally Identifiable Information (PII), is addressed. OMB statements must refer to the specific authority which provides the prescribing guidance, for example: Privacy Act Statement, Paperwork Reduction Act Statement, etc. Specific guidance on the collection of PII can be found in FAA Order 1280.1 series, Protecting Personally Identifiable Information.

ff. **Section 508.** Section 508 of the Rehabilitation Act of 1973 (as amended in 1998), requires that when Federal agencies develop, procure, maintain, or use electronic information technology (EIT), they will ensure that EIT allows people with disabilities to have access to and use of information and data comparable to the access and use of information and data by people who are not individuals with disabilities-unless an undue burden would be imposed on the agency.

gg. **Plain Language.** The Plain Writing Act of 2010 took effect on October 13, 2010. The law requires that federal agencies use "clear Government communication that the public can understand and use." On January 18, 2011, Executive Order, "E.O. 13563 - Improving Regulation and Regulatory Review" was issued. It states that our regulatory system must ensure that regulations are accessible, consistent, written in plain language, and easy to understand. Since agency forms are prescribed by policy, this requirement is extended to include forms.

hh. **FAA Forms Website.** The official agency database for all authorized FAA forms. Chapter 6 of this order provides complete information on this website.

ii. **Knowledge Services Network (KSN).** KSN is an enterprise-level service that provides a secure, web-based environment. It allows local or geographically dispersed teams to design, build and manage their own collaborative work sites through a combination of SharePoint and third-party technologies.

jj. **Issue Unit (I/U).** Term used by distribution and printing offices to describe in what manner a unit of forms is issued. Examples include: BK – Book, BX – Box, RL – Roll, SE – Set, PD – Pad, RM – Ream and SH – Sheet.

Chapter 2. Program Objectives

1. Control of Forms. Any form that is to be reproduced or procured in any quantity for use in the agency will be controlled from its origin to its discontinuance, including any revisions thereto, in the FAA Forms Management Program. Exclusive-use forms are excluded from this requirement (reference Chapter 1, Paragraph 6.t. of this order). Control of a form requires performance of the following functions by the OPR:

a. New and revised forms.

- (1) Analysis of purpose and procedural use
- (2) Determination that existing forms can or cannot serve the same purpose
- (3) Application of design standards, branding and Plain Language writing technique
- (4) Development and preparation of physical specifications for reproduction
- (5) Determination of scope of users, quantities to be reproduced and where stocks will be maintained
- (6) Assignment of a form or identification number
- (7) Branding, as applicable for public-use forms
- (8) Approval or disapproval for its reproduction and use
- (9) Creation in electronic fillable PDF (.pdf) format (excluding non-document type forms)

b. Existing forms in use.

(1) Review the purpose, procedures, and need of existing forms every three years, per DOT policy, to determine if their use should be continued, discontinued, or their format improved.

(2) On an annual basis, review stocked forms that have not been issued within the previous twelve fiscal months or whose stock volume greatly exceeds demand. A cost is associated with stocking forms in the FAALC so this activity must be evaluated on an ongoing basis and reported annually to the FMO, to coincide with appropriate budgeting by the FAA Logistics Center Forms Item Manager for stock shelf space.

(3) Monitor the reprinting of forms for stock replenishment when “stop orders” are issued, to prevent automatic replenishment and its associated costs.

(4) Convert paper forms to electronic PDF format, to the extent possible, to reduce government cost and customer/public burden. Not less than 75% of all paper forms will be converted to the PDF format by FY13 with 100% conversion by FY14.

2. Forms-Prescribing Policy. The use of all forms will be prescribed by official policy. The policy will establish the basis for use of the form and provide instructions for preparation, submittal and copy distribution. For supply purposes, identify the form by: number, title, source of supply, NSN if applicable, unit of issue, and estimated date of availability. Advise if there will be an initial distribution, and to what level. Regulatory policies that may prescribe forms use are Directives (Orders and Notices), Advisory Circulars, FAA Manuals and Executive Memorandums.

3. Roles and Responsibilities.

a. **The Office of Information Services (AIO)** has responsibility for the FAA Forms Management Program, delegated from the Administrator. The FAA Forms Program Manager, in the Office of IT Enterprise Business Services Division (AES-200), has delegated responsibility for providing overall program management and leadership in the development and implementation of Agency Forms Management on a national level. This will include:

- (1) Developing, documenting and implementing the FAA Forms Management Program
- (2) Establishing forms policy, standards, guidance and monitoring
- (3) Determining the means and extent to which automation can be used to facilitate and advance the agency's goals
- (4) Evaluating program effectiveness of subordinate offices, with a mechanism for these offices to provide status reports in various media
- (5) Interacting with internal organizations to identify and mitigate issues in order to facilitate program objectives in a timely manner
- (6) Reviewing newly created electronic forms for format, ease of use and compliance with Section 508 and Plain Language regulations
- (7) Management of the FAA Forms website database administration and the FAA Forms and Directives Management and Paperwork Reduction Act/Information Collections Programs KSN(information on this website and KSN is located in Chapter 6, Paragraph 3.)
- (8) Reviewing the purpose, procedures, and need of existing forms every three years, per Department of Transportation (DOT) policy

b. **Assistant Administrators and/or the Head of each Line of Business, or Staff Office** is responsible for the Forms Management activities within the scope of their respective operational area, including carrying out the objectives and provisions of the Forms Management Program. They will designate an FMO and an Alternate to assist in carrying out general responsibilities and to be specifically responsible to:

(1) Provide technical guidance and assistance to assigned Forms Officers and creators of forms

(2) Originate and participate in forms projects and systems analyses, including those originated by the FAA Forms Program Manager

(3) Control all forms originated or prescribed by the office or service, except for final approval by the FAA Forms Program Manager, and assignment of the serial suffix to the form numbers. The four-digit functional classification code, the first part of a form number, is assigned by the designated FMO

(4) Coordinate the use of forms created or prescribed by other organizations of the agency with their office or service organizations

(5) Create all forms in PDF for which they are the Office of Primary Responsibility (OPR)

(6) Provide ad-hoc reports, as deemed appropriate and necessary, to AIO/CIO when requested

c. **Regional Administrators of Regions and the Director of the Mike Monroney Aeronautical Center** are responsible for Forms Management activities in their respective operational areas. Each associate administrator and director will designate an FMO and Alternate to carry out these delegated responsibilities and to be specifically responsible to:

(1) Coordinate, evaluate and support the Forms Management Program, using guidance furnished by the FAA Forms Program Manager

(2) Arrange for the designation of subordinate Forms Officers and Alternates in local organizations (OPRs), where necessary, to assist the FMO in carrying out the functions of the Forms Management Program

(3) Provide technical guidance and assistance to local Forms Officers and creators of forms, assisting in the development, draft, design and layout of the forms

(4) Originate and participate in major forms projects and systems analyses, including those originated by the Agency Forms Program Manager

(5) Ensure that each form is supported by an official policy prescribing its use (reference Chapter 1, Paragraph 6.u.)

(6) Control all local forms

(7) Maintain the official file of all local forms originated by the OPR

(8) Represent the agency in all matters pertaining to Forms Management with all governmental agencies at the local level and

(9) Promote training for personnel engaged in Forms Management activities. Each office is independently responsible for budgeting and providing training to their personnel and the FMO should oversee this activity by providing information and assistance with training sources. AIO/CIO provides awareness training on the Forms Management Program and use of the FAA Forms website; however, the office is not responsible for the establishment, provision or payment of any training that is external to the agency.

d. The Aeronautical Center Director, for agency forms stocked in the FAALC, will:

- (1) Provide supply support for forms
- (2) Establish stocking and issuing procedures
- (3) Determine and maintain stock levels
- (4) Determine stock replenishment cycles, including quantities to be replenished and the initiation of procurement action
- (5) Develop and provide data, as may be required in budgeting for the stock replenishment of FAA forms, to the FAA Forms Program Manager

e. Forms Management Officers and Alternates carry out the responsibilities of the Forms Management Program for their LOB, SO, Regions and Centers, and are specifically responsible to:

- (1) Coordinate, evaluate and support the Forms Management Program: In accordance with this order for the operational area within their LOB, SO, Region or Center for which they have designated oversight
- (2) Create an internal business process to implement and manage the FAA Forms Management Program within your area of responsibility. Explain how the program will be supported within the framework of the organization's mission and/or business. Documents to support and assist the internal coordination process may include a procedural guide, workflow diagram, or supplemental directive to this order. Each LOB, SO, Region and Center has its unique business processes and operations; it is incumbent upon the FMO to establish a business process within the scope of the organization to appropriately support the agency program. A successful business process will be documented, coordinated, reviewed and approved by the organization's executive, management and business staff to ensure all internal organizational policies, in addition to agency policies, are adhered to and disseminated to all employees
- (3) Determine if subordinate levels of coordination and management are necessary: To assist the FMO in successful implementation of the internal business process within the organization and assign Forms Officers (FOs) for this purpose
- (4) Coordinate with the Agency Information Collections Officer: On all forms that require collection of Paperwork Reduction Act information or Personally Identifiable Information (PII) from the public to ensure that the collection of such information is appropriate and justified. The

Information Collections Officer will coordinate with OMB for an OMB-issued control number to be placed on the form. The OPR will place an appropriate Paperwork Reduction Act Statement or Privacy Act Statement on the form in conjunction with the coordinating OMB control number.

(5) Seek guidance from the FAA Forms Program Manager: For non-routine situations that may require higher-level coordination or approval

(6) Adhere to the appropriate records maintenance and disposition schedule: For official forms case files as directed in FAA Order 1350.15series, Records Organization, Transfer, and Destruction Standards (contact your local Records Management Officer for guidance that may be specific to your organizational operation)

(7) Upload all approved agency forms to the FAA Forms website: Upon authorization and prior coordination with the FAA Forms Program Manager

(8) Reference this order and the document titled FORMS MANAGEMENT IN THE FAA Process Guide, which is located on the FAA Forms & Directives Management and PRA/Information Collections Programs KSN site for guidance on routine matters. Information on the KSN is located in Chapter 6, Paragraph 3 of this order

f. **OPR Forms Creators and Forms Officers** are encouraged to contact their facility FMO during the early planning stages of form creation, prior to formal coordination and submission, to ensure a positive outcome. Communicate to clarify necessity, prevent duplication, identify compliance with PRA/Information Collection and Section 508 compliance requirements and regulations, and discuss form design to target ease-of-use and cost effectiveness. Prior to initiating creation of new agency form, the OPR must research to determine if a government form currently exists (i.e., DOT, SF, OF) to suit mission needs. This will prevent duplication and unnecessary proliferation which increases usage and maintenance costs to the organization and agency. If a suitable current government form is found, it should be used in lieu of creating an agency-specific form. Refer to this order and the FORMS MANAGEMENT IN THE FAA Process Guide for forms management for coordination instructions.

g. **Agency, Regional and Center Privacy Officers/Managers** are responsible for reviewing proposed public form content and supporting documentation to identify and provide guidance to FMOs for the applicable Privacy Act Statement to be placed on forms.

h. **Form User/Customer** is responsible for contacting the form OPR of suggested changes to a form that may enhance its usage and applicability for the benefit of the user and/or agency. Note that in most instances, a completed or filled-out form is considered an official record and must comply with all agency records management policy, including appropriate safeguarding of forms containing Personally Identifiable Information (PII) or Sensitive Unclassified Information (SUI). Complete information regarding agency policy on Records Management, PII or SUI can be found in FAA Directives which are cited in this order under Chapter 2, Paragraph 5, Key Laws, Regulations, Directives and References. For additional guidance regarding records management requirements within your organization, contact your designated RMO.

4. Authorities That Control Policy and Oversight of Government Forms Activities.

- a. Congress
- b. Office of Management and Budget
- c. General Services Administration
- d. Office of Personnel Management
- e. Office of the Secretary of Transportation
- f. U.S. Department of Transportation
- g. FAA Office of Information Services

5. Key Laws and Regulations.

- a. Administrative Procedure Act of 1947 (APA) (P.L. 79-404)
- b. Privacy Act of 1974 (5 U.S.C. §552a, P.L. 93-579)
- c. Paperwork Reduction Act of 1980 (PRA) (44 U.S.C. Chapter 35, P.L. 96-511, 94 Stat. 2812; Amended 1995)
- d. Government Paperwork Elimination Act of 1998 (GPEA) (P.L.105-277, Title XVII)
- e. Freedom of Information Act (FOIA) (5 U.S.C. §552, P.L. 89-554, 80 Stat. 383; Amended 1996, 2002, 2007)
- f. OMB Circular A-130, Management of Federal Information Resources (2006)
- g. E-Government Act of 2002 (P.L. 107-347, 116 Stat. 2899, 44 U.S.C. § 101)
- h. Section 508 of the Rehabilitation Act of 1973 (29 U.S.C. 794d), as amended by the Workforce Investment Act of 1998 (P.L. 105-220)
- i. DOT Order 1351.36, Departmental Forms Management Policy

6. Policies and Resources. FAA Directives are located on-line at MYFAA, Tools & Resources section, Order & Notices sub-section: https://employees.faa.gov/tools_resources/orders_notices/

- a. Order 0000.1 series, FAA Standard Subject Classification System
- b. Order 1280.1 series, Protecting Personally Identifiable Information (PII)

- c. Order 1320.1 series, FAA Directives Management
- d. Order 1350.14 series, Records Management
- e. Order 1350.15 series, Records Organization, Transfer, and Destruction Standards
- f. Order 1600.75 series, Protecting Sensitive Unclassified Information (SUI)
- g. Order 1700.6 series, FAA Branding Policy, Use of the FAA Logo, FAA Signature and DOT Seal
- h. Order 1720.18 series, FAA Distribution System
- i. Order 1720.36 series, Procedures for Printing, Duplicating and Copying
- j. FAA Forms website is located on-line at MYFAA, Tools & Resources section, Forms subsection: https://employees.faa.gov/tools_resources/forms/
- k. FAA Forms & Directives Management and PRA/Information Collections Programs, Knowledge Services Network (KSN) is located on-line at: https://ksn2.faa.gov/aio/home/forms_mgmt/default.aspx

Chapter 3. Creating, Revising or Cancelling Forms

1. Consider a Form Action in the Following Instances.

- a. A new or revised procedure calls for consistent and repetitive recording of information.
- b. A procedure using a form is terminated or changed.
- c. A form redesign to increase effectiveness.

2. Prerequisites to Submittal of a Form for Approval. Before submitting a request for approval to reproduce a form, or prescribe its use, the OPR will:

- a. Assure the need for the form itself, each item that is listed on the form, and that each copy justifies the cost generated by preparation and use.
- b. Coordinate the need for the form and its use with actual or potential user organizations.
- c. Research the FAA Forms website database and other forms resources to determine whether an existing Standard Form, Optional Form, DOT form, FAA form, or other standardized form will serve the need/purpose. Contact the appropriate FMO for assistance.
- d. Develop forms in electronic format as much as possible using fillable PDF (.pdf) format. Benefits to the Agency and external users are reduced need for printing, distribution and stocking, which will increase efficiency, promote ease-of-use and reduce overall program costs. Exclusions are envelopes, tags, labels and other formats which are not suitable for electronic access. Refer to paragraph 6.b. of this order for authorized exceptions to this requirement.
- e. Ensure that electronic forms meet Section 508 compliance requirements. Electronic forms are accessible via the FAA Forms website and must be readable for electronic display to users with disabilities.

3. Formal Request for Approval. The OPR form creator (or Form Officer if applicable) submits a hardcopy of the form and the form data file to their FMO, using FAA Form 1300-5, Form Approval Request, as a package cover sheet. All fields/blocks of the 1300-5 must be completed upon submission. If the form is not correctly completed, it will be returned to the FMO for corrective action. (Reference Appendix A).

4. Obtaining Office of Management and Budget (OMB) Clearance for New or Revised Forms that Require Collection of Information.

a. Under 5 CFR Part 1320, forms require approval from OMB (44 U.S.C. 3501-3513) when they are used to collect or solicit information from the public, or employees of federal, state or local governments, or are the basis of general purpose statistics (for example, Bureau of Census reports). The OPR will coordinate with the Agency Information Collections Officer to ensure that the collection of such information is appropriate and justified. The Information Collections Officer will

coordinate with OMB for approval of an OMB-issued control number to be placed on the form. Upon approval, the OPR will create and place an OMB Statement on the form in conjunction with the corresponding OMB control number and post the expiration date of the control number, if applicable. The agency may not conduct or sponsor a collection of information, and a person is not required to respond, unless the collection form displays a currently valid OMB control number and statement. Refer to Chapter 5, paragraph 7, Identification Symbols, for information on form standards and placement of the OMB statement and control number.

b. In developing the OMB Statement, the OPR must ensure that it informs and provides reasonable notice to the potential persons to whom the collection of information is addressed. Following is a brief description of the requirements that must be included in the statement:

- (1) The principal purpose(s) for which the information is intended to be collected/or has been collected
- (2) The authority which authorizes the solicitation of information; regulation must be cited
- (3) The routine uses which may be made of the information, such as who the information will be/has been disclosed to on a routine basis, to further the proper performance of the functions of the agency
- (4) An estimate, to the extent practicable, of the average burden of the collection, in minutes/hours
- (5) Whether responses to the collection of information are voluntary or mandatory and whether responses are required to obtain or retain a benefit, cite the authority
- (6) The nature and extent of confidentiality to be provided, if any, cite the authority
- (7) The effects to the person if the requested information is not provided

c. When the burden is renewed on existing forms, the forms OPR should submit to their FMO a current electronic version of the form along with the OMB approval notice. The form does not need to be revised if only the OMB expiration date is being changed.

d. For additional guidance, refer to FAA Order 1280.1 series, Protecting Personally Identifiable Information (PII).

Chapter 4. Standards and Procedures for Distribution - Initial Stocking, Stock Replenishment, and Stock Cancellation

1. Definitions for Terminology Used in the Distribution Process.

a. **Forms Distribution Point.** The activity designated to maintain operating stock levels, distribute forms, and perform supply management functions. Distribution points may include the FAA Logistics Center or the OPR.

b. **Operating Stock Level.** The quantity expected to be issued by a forms distribution point, from one replenishment of stock to the next.

c. **Initial Distribution.** Shipment of forms, directly to users by forms distribution points, printers, or other distribution organizations without requisitioning action by receivers.

d. **Initial Stock Shipment.** Shipment of forms, estimated to be required for the initial establishment of stock at a forms distribution point.

e. **Sample Copy Distribution.** Delivery of samples of a new or revised form as determined by the approving FMO for Forms Management purposes.

f. **Lead Time.** Total time to get a form approved, printed and at the supply source, or in the hands of its users.

(1) New or Revised Form must be cleared with interested offices; the form and related procedures and directives must be reviewed; the form analyzed and designed; specifications written; and requirements and distribution need established, all before the form reaches the printer

(2) Replenishment Actions and further action on new and revised forms often require such time-consuming steps as the preparation of requisitions, bidding and contracting, composition and reading of proofs, examination of paper and carbon samples, construction “dummies”, printing, packaging and transportation to destination

(3) Lead Time must be estimated. It varies from several days to two months for simple cut sheet and card forms, depending on quantity, urgency, and printing source. Three or four months may be needed to obtain specialty forms such as carbon-interleaved snap-out sets, marginally-punched continuous forms, sets containing reproducible masters, tab cards, and etc.

2. Supply of Forms.

a. Designation of Forms Distribution Points. The following Forms Distribution Points are responsible for the functions indicated:

(1) FAA Logistics Center (FAALC). Supply source for forms that are used agency-wide. The FAA Logistics Center Forms Item Manager is responsible for maintaining adequate stocks and providing forms to requestors. Contact information is located on the FAA Forms website.

(2) Administrative Services Functions, Regions and Centers. Provides forms to users in the regional headquarters and centers. Serves as the supply source for Regional and Center forms that are used by organizations within the Region or Center. Procedures for obtaining these forms are contained in regional and center directives.

(3) Office of Primary Responsibility, All Locations. When quantities permit, serves as the supply source for test and one-time-use forms initiated by that office only. Stocks smaller quantities of forms used within that office only and forms for which strict issuance control is exercised. Stocking by the OPR or the Administrative Services is determined by the FMO.

(4) DOT, Headquarters Warehouse (M-30). Provides forms used in Washington headquarters, either directly or through the GSA retail store, including those used exclusively in Washington Headquarters, but excluding those issued by OPR.

b. Criteria for Estimating Initial Requirements.

(1) New or revised agency forms, intended for continuous use, will be initially reproduced in quantities sufficient to establish initial operating stocks at appropriate forms distribution points, and meet the initial needs of users. If an initial distribution of a form is to be made directly to users, a supply not in excess of six months' usage will be sent. Initial stock shipments to forms distribution points will be reduced by this amount.

(2) If the form is a test or one-time use form, quantities provided will be sufficient to meet user needs for the required period or for an initial 12 month period if the test is to extend beyond one year. Distribution of these forms should be made directly to users; stocks, if required, ordinarily will not be maintained at distribution points other than the OPR.

(3) Initial Stock Shipments to the FAA Logistics Center will not exceed a 36 month supply. Stock for other distribution points will vary from 6 to 12 months' supply for test, one-time and overprinted forms, and from 12 to 18 months for continuous-use forms.

c. Criteria for Stock Replenishment.

(1) Continuous-use forms will normally be reprinted in 12-month quantities based on usage experience

(2) One-time forms normally will not be reprinted for stock replenishment purposes

(3) Test forms will not be reprinted in quantities exceeding the estimated usage for the duration of the test, or exceeding a six-month supply, whichever is the lesser of the two

3. Forms Requests and Stop Orders.

a. FAA Form 1300-5, Form Approval Request, is used for initial stocking of a new or revised form.

b. FAA Form 1330-4, Forms Stop Order, is used to prevent the automatic replenishment of stocks because of pending revisions or to cancel forms. (Reference Appendix B).

4. Establishing Initial Stocks of Agency Forms.

a. The OPR, in collaboration with the appropriate FMO, will:

- (1) Compute quantity to be reproduced for initial requirement and stocking.
- (2) Consider where supply will be issued and maintained.
- (3) Enter findings on FAA Form 1300-5 for FMO approval.

b. Forms Management Officer (FMO) will:

(1) Assure that all factors are considered so that initial quantity is adequate for issuance and stocking, and that stocks are properly located.

(2) Forward approved copies of the printing request to printing organizations for reproduction and to forms distribution points.

c. Printing Organizations. Reproduces or procures forms in quantity requested and delivers them to forms distribution points.

d. Forms Distribution Points will:

- (1) Issue forms on request.
- (2) Maintain adequate stock.
- (3) Establish minimum supply levels, based on issuance experience and lead time needed to replenish stocks. This is an important step in supply procedures. Realistic minimum levels enable orderly replenishment, prevent premium costs, and disrupted schedules.

5. Routine Replenishment of Stocks of Agency Forms.

a. The FAA Logistics Center forms distribution point will replenish stock by submitting a printing request directly to the FAA Print Shop.

(1) The Mike Monroney Aeronautical Center, Media Solutions Division (AMI-700), may be used for the less complex types of forms within the printing limitation of the Aeronautical Center

(2) The DOT Printing Information Tracking system (PRINT) will be used for printing all other requests. The PRINT system allows the user to initiate, edit, view and print DOT Form 1700.3, "Printing, Binding, Distribution, and Editorial Services Request", and DOT Form 1710.2, "Request

for Graphic and Photographic Services” for submission to the FAA HQ printing point of contact in ARC. System focal point is the Program Manager of FAA Printing, Distribution and Mail. The PRINT website is accessible at: <http://print.faa.gov/>

b. Regional and Center forms distribution points will replenish stock as follows:

(1) Forms stocked by the FAA Logistics Center will be requisitioned via coordination with the FAA Logistics Center Forms Item Manager.

(2) Local forms will be obtained by submission of the appropriate printing request, to their print facility.

(3) Standard Forms and Optional Forms are available from GSA or OPM websites. Non-electronic SF/OF forms may be obtained by purchase from the applicable regional GSA supply depot.

(4) Forms of other Federal agencies (DOT, GSA, Treasury Department, OPM, and etc.) used within the Regions, Centers or Headquarters will be obtained from the source of supply indicated in the directive prescribing the use of the form required.

c. Office of Primary Responsibility forms distribution points will replenish stock as follows:

(1) The OPR of the form who maintains stock prepares the appropriate printing request and sends it to their FMO (or OPR Forms Officer, as applicable).

(2) The FMO, upon approval, sends the request to the supporting printing organization.

d. The Headquarters Warehouse will replenish stock as follows:

(1) Forms stocked by the FAA Logistics Center will be requisitioned through, and in accordance with, procedures established by the FAA Logistics Center Forms Item Manager.

(2) Requests for reprint of forms used exclusively in Washington Headquarters will be ordered by a printing request to the headquarters printing manager.

e. Copy of Form. A copy of the latest edition of the form to be reprinted must be provided with all print requests. No changes will be made to the latest edition.

f. Printing Sources. The printing source will reproduce and deliver the quantity of forms requested.

6. Stopping Routine Replenishment of Stocks of Agency Forms. Normal stock replenishment action is stopped by FAA Form 1330-4, Forms Stop Order, when a revision or other factor affecting the use of a form is proposed. The instructions issued on a stop order remain in effect until they are superseded by the issuance of an FAA Form 1300-5 for a revision of the affected form, another Form 1330-4, or a memorandum from the OPR, endorsed by the FMO, lifting the effect of the stop order. Local procedures determine where the Form 1330-4 will be sent for review and issuance.

a. OPR of the affected form prepares and sends the Form 1330-4 to their local FMO, through the Forms Officer, if applicable.

b. FMO or Forms Officer, if applicable, reviews and sends copies of the stop order to the forms distribution point, printing organization, and other interested organizations, as necessary.

c. Forms Distribution Point.

(1) Immediately checks if a reprint request was issued for normal stock replenishment of the affected form. If issued, takes action to stop or suspend printing, and notifies the FMO or OPR Forms Officer, accordingly.

(2) Holds the stop order on file and acts according to the form instructions regarding subsequent replenishment transactions.

d. Printing Organization.

(1) Files the stop order in the official forms file folder as a flag for subsequent replenishment requests

(2) Stops or suspends any pending printing

(3) Notifies requesting forms distribution point of success in stopping pending printing

7. Stock Replenishment Following Issuance of a Stop Order. Local procedures determine where a printing request will be sent for review and action.

a. Forms Distribution Point prepares and sends a print request to the OPR Forms Officer or FMO issuing the stop order.

b. OPR Forms Officer or FMO.

(1) Checks the status of the proposed change

(2) Promptly cancels the request or authorizes a reproduction in a sufficient quantity to coincide with the timing of the proposed form changes

(3) Promptly returns a copy of the print request to the originating forms distribution point as notification of action taken

(4) Sends a copy of the print request to the local, Aeronautical Center or HQ print shop for reproduction of the form. A copy of the latest edition of the form will be attached to the request. No changes are permitted on this copy of the form.

8. Stock Cancellation of a Form. The cancellation or discontinuance of any form from use, regardless of reason, except previous editions of a revised form, is initiated by the OPR and accomplished by the local FMO sending an electronic email message with an attached FAA Form 1300-5 to the FAA Forms Program Manager. The procedure for issuing a stop order is as follows:

(1) Notify the FAA Logistics Center Forms Item Manager with an email message with an attached FAA Form 1330-4 as provided by the OPR. Provide all pertinent form information and include the organization OPR as a courtesy copy recipient of the email message.

(2) Print and file a copy of this electronic request in your functional forms file in the folder of each applicable form.

(3) Cancellation is considered approved upon receipt of verbal or electronic mail authorization from the FAA Forms Program Manager or FAA Logistics Center Forms Item Manager.

9. Annual Review of Inactive and Overstock Forms. The appropriate FMO will, on an annual basis, perform the following actions:

a. Review forms that have not been issued within the past twelve months or are excessively overstocked.

b. Determines, through dialogue with the OPR, whether to cancel forms or reduce stock volume. This is most easily accomplished by email messaging a copy of each form involved and/or providing a consolidated listing, with the quantity issued in the last 12 months, and the quantity on hand. The OPR can reply with which action is to be taken:

(1) Continue in use

(2) Discontinue

(3) Reduce stock (with recommended quantity)

c. Notifies the Forms Distribution Point and users of action to be taken

d. Records volume and number of forms purged

Chapter 5. Forms Standards

1. Need for Standards. Forms analysis and design standards ensure uniform, simplified, economical, and efficient forms.

a. General Standards. Standard forms found on the GSA website are useful for analyzing and designing FAA forms.

b. Specific Standards. Mandatory specific standards applicable to agency forms are given below. These prevail over GSA standards.

2. Use of Phrase, United States of America. “United States of America” in the identification area of forms:

a. Is required on public use forms issued to or used by foreign nationals and governments.

b. May be shown on internal forms used for public display such as certificates and awards.

c. Will not be shown on public use forms issued to or used by only domestic citizens, commerce, or government, or on any external use forms except as provided in the preceding subparagraph.

d. When used, is always spelled in full, set in the same style type, equal to or larger in size than that used for the department and agency names.

3. Use of Agency Name, Federal Aviation Administration. The agency name in the identification area of agency forms:

a. Is required on all public-use forms and on internal-use forms used for display purposes such as certificates, licenses, diplomas, and etc.

b. Will not be shown on internal-use forms except as provided in the preceding paragraph.

c. When shown, is always accompanied by the name of the U.S. Department of Transportation.

4. Use of Organization Names. Organization names in the identification of agency forms will be displayed as follows:

a. FAA Forms. Organization names will not be shown on any form known as an “FAA or WA Form”.

b. Region or Center Forms. These will show the name of the region or Center in conjunction with the agency and Department name.

(1) Is required on public-use forms

(2) May be shown on internal forms used for public display, such as certificates, licenses, diplomas, and etc.

(3) Will not be shown on internal-use forms except as provided in the preceding paragraph

(4) Subordinate regional or center organization names are not shown

(5) When used, the region or center name will be set in the same style type, equal to or smaller in size than that used for the agency name

5. Form Titles. Use brief, clear, descriptive titles indicative of function and purpose. Relating the form title to the function simplifies identification, cataloging, reference and recordkeeping. Key Words are required for use in the titling of all proposed forms because they are used in the search, sort and compilation functions of the FAA Forms electronic database. Examples:

- a. Use: **Membership** Application and Directory
Do not use: Application for Membership and Directory
- b. Use: **Traffic Report** (Airway Peak Day)
Do not use: Report of Peak Day Airway Traffic

6. Form Identification.

- a. **Prefix.** The prefix identifies the origin and generally indicates scope of usage of a form.

(1) FAA Forms. These forms are originated at headquarters. They are used agency-wide and have the prefix FAA Forms and are predominantly issued by LOBs, SOs, and joint offices.

(2) Regional or Center Forms. These forms are originated at the Regions or Centers. They are generally used locally and have the region or center contraction prefix, for example:

- a) AL Form (Alaska Region form)
- b) AC Form (Aeronautical Center form)

(3) Washington Headquarters Forms. These forms are originated at headquarters for internal use by two or more offices. They have the prefix “WA Form”.

(4) Washington Office Forms. These forms are originated at a headquarters office for exclusive internal use in that office. They use the office’s contraction prefix, for example: MS Form.

- b. **Number.**

(1) Number each form with a four-digit numerical code that identifies the function of the form. This is followed by a dash (-) and a sequential number. A separate sequence is issued with each four-digit code. Refer to, and use, the functional number from the Subject Classification Table in

Order 0000.1G, FAA Standard Subject Classification System. The sequential numbers identify the 1st, 2nd, 3rd, etc. forms issued for use in a functional area. The complete number is followed by the edition date. Examples follow:

FAA Form 4400-17 (2/80)
WA Form 2500-1 (10/77)

AL Form 3930-7 (2/06)
SO Form 2730-4 (12/92)

(2) Older-series forms need not be renumbered until revised. It is not necessary to renumber them when reprinting, but they may be renumbered when reprinted if it is practical to do so. If renumbered, ensure that any associated forms-prescribing policy is updated at this time.

(3) Overprinted forms will be identified by the form number of the basic form and the suffix “OP” (overprint) followed by the local contraction and a sequential number. For example, an overprint of a form for New England Region would be: OP-NE-1. This would be placed on the form to the immediate right of the original form number. The OP number, in total, would appear as: FAA 1300-5 OP-NE-1.

c. **Edition Date.** Dates will be displayed as: MM/YY or M/YY. On older forms, the date may appear with a hyphen/dash; however, effective with this order, a forward slash will be used to separate the month and year. All revised forms will use this new date format. Whenever a change is made in any of the following form areas, update the edition date to show the month and year of revision:

- (1) Content
- (2) Organizational titles
- (3) Conversion of older-series form numbers to functional classification numbers
- (4) Physical specifications: type, weight, grade or color of paper, size, construction, and etc.

d. **Supersession Notice.** If applicable, place an appropriate supersession notice on the form to the immediate right of the edition date, as follows:

- (1) “SUPERSEDES PREVIOUS EDITION”
- (2) “SUPERSEDES FORM (insert the form number and edition date of previous form)”

e. **Continuation Sheets and Variations of Forms by Construction.** Continuation sheets of basic forms, and forms that are the same but vary in construction because of systems or other operating conditions, are distinguished by numerical suffixes to the basic form number. The suffix is separated from its base number by a point or period (.). Examples:

FAA Form 1600-32 (2/91) Report of Investigation

FAA Form 1600-32.1 (4/10) Report of Investigation (ROI) continuation page

Multiple pages can be designated with page numbers placed in the right margin. Examples:

FAA Form XXXX-X
FAA Form XXXX-X

Page 1 of 2
Page 2 of 2

f. **Placement of Form Identification.** Place the form number in the lower left margin outside the border, except for visible file cards, tabulating cards, and similar forms in which space is limited by systems or equipment requirements. In such cases, place the number elsewhere in a prominent place. Keep the form number on form letters, certificates, and similar documents, simple and plain so as not to detract from the overall appearance of the form.

g. **Modified Forms Identification and Control.** Some short-run, local-use forms with one or a few users do not need full controls with formal numbering and documentation. These forms are usually hardcopy and are not reprinted. The FMO must review and approve all requests for such forms. Approval shown on a print request, or an FAA Form 1300-5, may adequately control and track these items. Generally, no official form number is assigned. If desirable, identification such as “Approved Form AT 9/72 500 copies” may be shown in place of a form number.

7. Identification Symbols. Place the symbol for FAA, other Government agency, and OMB control numbers, when required, in the upper right margin of the first page. Generally, place the symbol in a box, forms design permitting. Where a forms design does not permit this standard display, place the symbol in a prominent place. Public-use Forms Approved by the Office of Management and Budget (OMB) will display as:

Form Approved OMB No. 2120-XXXX

Expires: (Display expiration date as Month/DD/YYYY– spell out the month)

8. National Stock Numbers. Forms stocked in the FAA Logistics Center (FAALC) require national stock numbers (NSN) for tracking. From blocks of numbers provided by the FAALC, the FMO assigns the 11-digit (Class 0052) number.

9. Branding, Seals and other Devices.

a. **Agency Seal.** As provided in Order 1700.6 series, FAA Branding Policy, Use of FAA Logo, FAA Signature and DOT Seal, Paragraph 5. FAA Logo. A monochrome facsimile may be printed on agency forms used for display purposes, such as certificates, diplomas, licenses, credentials, etc. When used, they will not be less than one-half inch in diameter. Multi-color facsimiles are not permitted on any form without written authorization from the Assistant Administrator for Communications, AOC-1.

b. **DOT Seal.** As provided in Order 1700.6 series, FAA Branding Policy, Use of FAA Logo, FAA Signature and DOT Seal, Paragraph 8.a. and 8.b. Authorization is delegated to the FAA Office of Information Services (AIO) to display the DOT seal on all information collection instruments, including public-use forms.

c. **Other Identifying Seals, Marks, Logos, or Signs.** These devices are not permitted on an agency form unless the use of such a device is fully justified to the Assistant Administrator for Communications, AOC-1 and written authorization is obtained.

10. Border Rules. When borders are used they must be within one inch from the edge of the form in a single solid line.

- a. **At the top and bottom of the form,** rules are preferred but not required.
- b. **On the sides,** rules are not preferred unless they are essential to govern fill-in areas or for processing of the form.

Chapter 6. Forms Management Electronic Databases

1. FAA Forms website. This agency website is the official forms database for all authorized official FAA forms. The website can be accessed electronically via the Internet or MyFAA Intranet. The FAA Forms Program Manager has complete functional management access to the website; FMOs have limited functional access. Information is provided on the Forms website to assist the user in navigation. Contact information is provided on all current FMOs, the FAA Logistics Center Forms Item Manager (for forms with NSNs that are stocked in the warehouse) and the website contact. This website maintains a database of all FAA forms. External agency forms are not maintained by the FAA; links to external agency forms websites are provided for user convenience. A subscription service is an available option for customers to be notified via an email message, of any changes to a form in the series of their particular interest.

a. Website address.

(1) **Intranet address:** https://employees.faa.gov/tools_resources/forms/

From the MyFAA employees website, go to the section titled “Tools & Resources” and click on the link titled “Forms”. This internal website is accessible by FAA employees only and is located behind the secure FAA firewall. A Document Information page is provided on all active agency forms. Forms are available from the OPR as deemed appropriate as some forms may be restricted due to sensitivity, security or in limited use. If the form is listed online but is not downloadable, follow the instructions provided in the Document Information page or contact the listed point of contact for a copy to be sent to you. If the form search does not bring up the Document Information page, then the form may be canceled. The OPR or local FMO should be contacted for a current status. A list of all FMOs is provided in the link titled “Other Points of Contact” under the section titled “Questions or Comments?”

(2) **Internet address:** <http://www.faa.gov/forms>

This external website is accessible by the public and is not located behind the secure FAA firewall. Only those forms that are made available to the public by the OPR are available for download from this site. A Document Information page is provided on all public-use forms. If the form is listed online but is not downloadable, follow the instructions provided in the Document Information page or contact the listed point of contact for a copy to be sent to you. If the form is not listed at all, it is not available for public use.

(3) **Intranet address:** https://employees.faa.gov/tools_resources/forms/

b. Website database. The electronic database maintains information relevant to all forms controlled in the FAA Forms Management Program. Certain portions of the database are viewable by customers; other portions are viewable and managed by FMOs with assigned access delegated by the FAA Forms Program Manager. Delegated access is assigned on a case basis and dependent on the level of forms activity and other factors. The database contains the following information:

(1) Form number assigned to the form

(2) Form title

- (3) Dates initiated, revised and canceled
 - (4) Office of Primary Responsibility (OPR)
 - (5) Name of focal point to contact
 - (6) Functional classification codes, if other than the form number
 - (7) Form supersession data
 - (8) Form distribution point
 - (9) Federal National Stock Number (NSN), where appropriate
 - (10) If the form is available electronically, it must be in PDF (.pdf file) format or one of the following if authorized an exception by the FAA CIO:
 - (a) Microsoft Word (.doc or docx file)
 - (b) Microsoft Excel (.xls or .xlsx file)
 - (11) Format identification symbol (also referred to as a file extension): .pdf, .doc or docx, or .xls or .xlsx.
 - (12) Image file of forms that are not downloadable, including envelopes, tags, labels, cards, and others
- c. Key words are used in the search, sort and compilation functions of the database and are required for use in the titling/naming of all proposed forms
- d. FAA Order 1330.3B, FAA Forms Catalog, dated March 4, 1988, is canceled with the implementation of the FAA Forms website since this information is now available electronically

2. Procedures for Requesting Revisions to the FAA Forms website. The form creator coordinates their request through their designated LOB, SO, Region, or Center FMO. The FMO will submit a formal request via email to the Forms Program Manager for consideration.

3. FAA Forms & Directives Management and PRA/Information Collections Programs Knowledge Services Network (KSN).

a. This KSN was developed to provide information, resources and links for the FAA community of FMOs, Directives Management Representatives (DMRs) and those who coordinate internal PRA/Information Collections, to utilize in the course of managing these national programs within their LOB, SO, Region, or Center. This forum promotes communication, knowledge sharing and

networking among the community members to enhance successful program outcomes and quality customer support.

b. The KSN can be accessed electronically via the MYFAA web portal, in the Tools & Resources section, under Information Technology, Knowledge Services Network. The FAA Forms Program Manager is the system administrator for the KSN. The FAA Forms & Directives Management and PRA/Information Collections Programs KSN address is:
https://ksn2.faa.gov/aio/home/forms_mgmt/default.aspx

Chapter 7. Forms File Information

1. Official Forms Case File. The FMO keeps this historical file for the forms they approve. Files are maintained according to the disposition schedule for series 1330, Forms Management, found in FAA Order 1350.15 series, Records Organization, Transfer and Destruction Standards. This applies to both electronic and paper file records. Papers not needed on draft or earlier editions of revised forms may be purged as new editions are developed. Purge these unnecessary papers upon cancellation or prior to transferring the record file to an approved Federal Records Center. For additional guidance regarding records management requirements within your organization, contact your designated LOB/SO/Region or Center Records Management Officer or the FAA Records Officer.

a. **Contents of File.** The official files for both electronic and hardcopy paper forms will contain all of the documentation outlined below. For hardcopy file folders, place the official file copy of the electronic or printed form on top of all documents in the file. If the form is obsolete and has been canceled, place the FAA Form 1300-5 cancel request on top of all documents. If the canceled form is in printed format (non-electronic), place the FAA Form 1330-4 on top of all documents in the file. Placement of forms in this manner will always ensure that the most current activity is at the front/top of the file for easy reference. The following documents must be included in the file:

- (1) Official file copy of the electronic or printed form
- (2) Form Approval Request, FAA Form 1300-5
- (3) Forms Stop Order, FAA Form 1330-4
- (4) Printing request and specifications (when required for non-electronic formats)
- (5) Essential papers that modify data on the Form 1300-5
- (6) Final form drafts
- (7) Approved printer's proofs, if any
- (8) Extra copies of the printed form

b. **Filing Method and Disposition.**

(1) Active Forms. File folders by sequential form number in the active section of your electronic files and/or file cabinet.

(2) Canceled Forms. File folders by sequential form number in the inactive or canceled file section of your electronic files and/or file cabinet and destroy 5 years after the cancellation date. If the physical files accumulate to at least one cubic foot and you need to use the filing space for another purpose, you may transfer the files to a Federal Records Center for storage and eventual destruction. Contact your records officer for guidance on this process.

2. Functional File. The functional file contains a copy of each form filed by functional classification number. The file is the key to effective forms analysis. Properly organized, maintained and used, it helps to provide simplified and efficient paperwork operations in the FAA.

a. **Major Uses.** The file provides a functional and subject reference to forms and related directives, reports, correspondence, and records in the same functional areas, providing a basis for effective review and analysis to:

(1) Eliminate unnecessary forms

(2) Combine and standardize similar forms which duplicate or overlap, aiding in the standardization of procedures and work methods

(3) Prevent the creation of new forms which would duplicate previously developed forms

b. **Location and Composition.**

(1) The FAA Functional Forms File. The Agency Forms Program Manager maintains the agency master functional forms file. This file contains copies of forms and form letters used by all organizational elements of the agency.

(2) Local Functional Forms File. The FMO in an LOB, SO, Region, or Center maintains a similar master file of copies of all forms currently in local use. Regional and Center Officers will also file all other active FAA forms furnished for functional file use within their operating areas.

Chapter 8. Administrative Information

1. Distribution. This Order is available electronically on the MYFAA employee website at: https://employees.faa.gov/tool_resources/orders_notices.

2. Authority to Change This Order. The FAA Office of Information Services (AIO) can issue changes to this order as necessary to implement and administer the FAA Forms Management Program. This office approves changes that set policy, delegate authority, and assign responsibility.

Appendix A. Instructions for Preparing FAA Form 1300-5, Form Approval Request

This form must be completed by the OPRs for all forms requests. In the block for “Name of Person to Contact”, provide the name of the person most familiar with the request who may be contacted for additional information and who is qualified and authorized to commit the Office of Primary Responsibility (OPR) in subsequent negotiations; this is usually the same subject matter expert that authored the prescribing policy. Copy requirements are prescribed by supplemental directives. If you have difficulty with completion of the request, consult your local FMO for guidance.

The item numbers below correspond to the block numbers on the Form 1300-5.

1. **Title.** Provide a brief descriptive title of the item requested. Keep it short, clear and concise. Describe the form’s purpose and function. Avoid ambiguous wording, such as “office record”. Do not use words such as “card”, “sheet”, and “blank” because they refer to the physical characteristics of the form rather than its function. Use **KEY WORDS** to facilitate reference and search functions in the FAA Forms electronic database. For example, use Print Request (not Request for Printing).
2. **Form Number.** For new forms, use the four-digit functional classification code (reference FAA Order 0000.1 series, FAA Standard Subject Classification System) which becomes the basic structure of the form number. The approving FMO will enter the sequential suffix and edition date, thereby completing the form number. For revised forms, enter the form number as it appears on the existing form. Do not include the edition date.
3. **OPR Routing Symbol.** Division level office or higher.
4. **Prescribing Policy or Directive.** Show the identification number of the policy or directive prescribing the use of the form. For example: Order 1330.5A or Notice 1330.1. If there is no number associated with the policy, provide the title.
5. **Preparers.** Provide the distribution codes or routing symbols (as appropriate) of the office(s) that prepared the form.
6. **Customers.** Provide the distribution codes or routing symbols (as appropriate) of the office(s) that use the form. If it is a form for agency-wide use, enter “FAA ALL”. Reference Order 1720.18 series, FAA Distribution System, for additional routing codes.
7. **Related Forms (Including Superseded Forms).** Provide the form number and edition date of every form that will be canceled by the approval and issuance of the requested form (including the last edition/date of a form being revised). Indicate the disposition of existing stocks of each form listed with the symbols “D” (destroy) or “U” (use until stocks are exhausted).

Note: A Forms Stop Order form, FAA Form 1330-4, is required for each form being canceled when it is necessary to purge forms stocks from distribution points or printing jackets of canceled forms.

8. **Justification.** Describe the situation or problem which creates the need for the requested form. Explain how it will aid in solving the problem. Describe the specific purpose to be served by the form

and the actions to be taken. Explain why it is required in the frequency proposed. Make clear any probable undesirable consequences of the lack of the data requested.

9. **Record Schedule That Applies To Requested Form.** Provide the Record Schedule that corresponds with the use of the form, per FAA Order 1350.15 series, Records Organization, Transfer, and Destruction Standards.

10. **Stocking Point.** Indicate where the primary stocking point will be. If the FAA Logistics Center (FAALC) is chosen, the FAALC Forms Item Manager will provide the appropriate National Stocking Number (NSN).

11. **Additional Data** Required for Printed Forms.

a. **For Use In.** Check the applicable boxes to indicate where the users are located.

b. **Paper.** State the weight, type, color and size of paper on which the form will be printed. If the color of paper is to be other than white, explain the reason for the color requested on a separate sheet of paper and attach it to the request. (If the form will be downloadable from the Forms website, do not complete this section). If you are unsure, reference Order 1720.36 series, Procedures for Printing, Duplicating and Copying or contact the FAA Print Shop for assistance.

c. **Color of Ink.** State the color of ink to be used for printing the form. If a color other than black is requested or several ink colors are requested, a memorandum justifying the use of the colored inks must be attached to the request. The request must be approved and signed at the LOB assistant administrator level. Also, check whether the form will be printed face only, head to head, head to foot, or head to side; if head to side, also attach a sample to indicate the position of printing.

d. **Ordering Data.** Standards for determining initial requirements and distribution of printed forms are given in Chapter 4 of this order. This section does not apply to electronic forms.

(1) **Issue Unit (I/U).** Provide one of the following abbreviations which indicate in what manner the unit is issued. Issue Unit is abbreviated as I/U.

BK – Book	BX – Box	RL – Roll	SE – Set
PD – Pad	RM – Ream	SH – Sheet	

(2) **I/U's Required Monthly.** State the average number of units of issue used monthly by all users. This information is basic to the computation of the number of units to be printed.

(3) **Ship to, I/U's for Initial Distribution, and I/U's for Stocking Points.**

(a) *When no initial distribution is to be made to users and the form is to be placed in stock at a forms distribution point only.* State the routing symbol of the organization maintaining the forms distribution point under “Ship to” and the quantity of the initial stock shipment. The quantity to be initially reproduced will be sufficient for both user needs and distribution point operating stock.

(b) *When supply is initially sent to one office and stock is maintained in a forms distribution point.* State the routing symbol of the organization under the “Ship to” and the quantity under “I/U’s for Initial Distribution”. State on the next line, under “Ship to”, the routing symbol of the forms distribution point, where the stocks are to be maintained. Provide the quantity under “I/U’s for Stocking Points”.

(4) **Date Forms Requested at Using Locations.** State the date the form is expected to be available to the user. Plan ahead and submit requests which allow sufficient time for effective analysis and design, time for the printer to print or procure forms without unnecessary waste of resources, and time for transporting the forms from the printer or supply points to the users.

(5) **Total I/U’s Requested.** This is the total number of form issue units to be printed.

e. **Additional Specifications.** Provide necessary instructions to the printer to label packages and containers with the form number, edition date, NSN (if any), and quantity in each package. Unless instructed in this space to do otherwise, the appropriate printing organization arranges for packaging and marking of packages and containers according to currently acceptable practices of the trade. Packages generally contain 500 sheets of paper and filled containers will not weigh more than 70 pounds. When appropriate, wrapping expense can be avoided by specifying: “Pack loose (unwrapped) in cartons”.

12. **Approvals.** The appropriate reviewing and approving officers sign here.

Appendix A. SAMPLE FAA Form 1300-5, Form Approval Request

FORM APPROVAL REQUEST		New Form	Revision	CHECK ALL APPLICABLE BOXES			
		Cancellation	Public Use	Continuous Use	Test Form or One-Time Use	Other	OMB Control Number and Expiration Date (if applicable)
OFFICE OF PRIMARY RESPONSIBILITY (OPR) (Division Level or Higher)		Routing Symbol		Name of Person to Contact		Telephone Number	
1. TITLE OF PROPOSED, REVISED OR CANCELLED FORM							
2. FORM NUMBER			3. OPR ROUTING SYMBOL (Division Level or Higher)		4. PRESCRIBING POLICY or DIRECTIVE		
6. PREPARER/POINT OF CONTACT (Provide name, telephone # and e-mail address)					8. RECEIVERS (Routing Symbols)		
7. RELATED FORMS (INCLUDING SUPERSEDED FORMS)							
8. JUSTIFICATION (Provide a detailed explanation of the need and use of the form. If necessary, continue on additional sheets and attach to this form.)							
9. RECORDS SCHEDULE ITEM THAT APPLIES TO REQUESTED FORM (If none, state "None")			10. STOCKING POINT	FAA LOGISTICS CENTER - NSN Number		OTHER - Specify	
11. ADDITIONAL DATA REQUIRED FOR PRINTED FORMS							
A. FOR USE IN <input type="checkbox"/> Washington <input type="checkbox"/> Regional Centers <input type="checkbox"/> Field Facilities		B. PAPER SUBSTANCE, TYPE, COLOR		C. COLOR OF INK		D. ORDERING DATA	
Width		Length		Face Only		Issue Unit (IU) (Sheet, Set, etc.)	
				Head to Head		Ship to	
				Head to Foot		IU's for Initial Distribution	
				Head to Side		IU's for Stocking Points	
				Date Forms Requested at User Locations		Total IU's Requested	
E. ADDITIONAL SPECIFICATIONS							
12. APPROVALS		Forms Officer (Organizational), if applicable		Forms Management Officer (LOB, SO, Facility, Region/Center)		FAA Forms Program Manager	
Date		Routing Symbol		Date		Routing Symbol	
						AES-200	

Appendix B. SAMPLE FAA Form 1330-4, Forms Stop Order

FORMS STOP ORDER

THRU: OPR FORMS OFFICER		TO: (Name of organization and routing symbol making recommendation:		FORM Number: and Edition Date:
FROM: Forms Management Officer:	Routing Symbol:			
It is recommended that normal replenishment of this form be stopped for the reasons checked and explained below:				
FORM IS OBSOLETE	Replaced by: (Form number and date)		USE	DESTROY
FORM TO BE REVISED/CONSOLIDATED	List Forms to be included in consolidation:		Estimated date of completion:	
SPECIFICATIONS MUST BE CHANGED	Specify contemplated changes:			
USAGE HAS/WILL BE CHANGED	Indicate probable effect on stock level:			
OTHER (Explain):				
Date	Title of Recommending Official		Signature of Recommending Official	
CONCUR	Date	Signature of OPR Forms Officer		
REFERENCE REMARKS				
REMARKS:				
TO: Forms Distribution Point	Routing Symbol:	FROM: FORMS MANAGEMENT OFFICER:	Routing Symbol:	
Stop normal replenishment of stocks of this form and take the following action:				
DIVERT REPLENISHMENT ACTION FROM NORMAL CHANNELS SEND REPLENISHMENT REQUESTS TO: FORMS MANAGEMENT OFFICER.		Routing Symbol:	PREVENT REPLENISHMENT OF THIS FORM	
Detailed Management Advice:				
Date Stop Order Issued:	Signature of Forms Management Officer			
COPY DISTRIBUTION (INSERT ROUTING SYMBOL UNDER DESIGNATIONS):				
FORMS MANAGEMENT OFFICER	OPR FORMS OFFICER	RECOMMENDING OFFICIAL	FORMS DISTRIBUTION POINT	PRINTING ORGANIZATION

Appendix C. SAMPLE FAA Form 1320-19, Directive Feedback Information



U.S. Department
of Transportation
**Federal Aviation
Administration**

Please submit any written comments or recommendations for improving this directive, or suggest new items or subjects to be added to it. Also, if you find an error, please tell us about it.

Subject: FAA Forms Management Program

To: Forms Program Manager, AES-200

(Please check all appropriate line items)

- An error (procedural or typographical) has been noted in paragraph _____ on page _____.
- Recommend paragraph _____ on page _____ be changed as follows:
(attach separate sheet if necessary)

- In a future change to this directive, please include coverage on the following subject:
(briefly describe what you want added)

Other comments:

I would like to discuss the above. Please contact me.

Submitted by: _____ Date: _____

Telephone Number: _____ Routing Symbol: _____

FAA Form 1320-19 (10-98)