Forest Service Handbook National Headquarters - Washington Office Washington, DC

Forest Service Handbook 1609.11 – Publications Management Handbook

Zero Code

Amendment: 1609.11-Amendment 16

Effective date: April 1986

Duration: This amendment is effective until superseded or removed.

Superseded Directive:

Approved by:

Date approved:

Responsible Staff:

Explanation of changes:

Guidance documents lack the force and effect of law, unless expressly authorized by statute or incorporated into a contract. USDA may not cite, use, or rely on any guidance that is not available through their guidance portal, except to establish historical facts.

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01 - Authority

The major authorities governing publications management are cited in FSM 1630.1. For ease of reference, Office of Management and Budget Circular A-3 (Revised) and attached OMB Bulletin 85-14 are set forth as exhibit 1 to this section. Copies of Joint Committee on Printing Regulations are available from the Printing Section, WO. Copies of the Department's Visual Management Manual are available from the Central Supply Warehouse, 3702 Ironwood Place, Landover, MD 20785.

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01 - Exhibit 01

EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON DC

May 2, 1985

CIRCULAR NO. A-3
(Revised)

TO THE HEADS OF EXECUTIVE DEPARTMENTS AND ESTABLISHMENTS

SUBJECT: Governmental Publications

1. Purpose. This Circular prescribes the policies and procedures for approving funding for Government periodicals to fulfill the requirements of section 1108, Title 44, United States Code, as amended, and for reporting periodicals and non-recurring publications.

2. Rescission. This revision supersedes OMB Circular No. A-3, revised, dated May 18, 1972.

3. Background. This Circular was originally issued on May 11, 1922, to manage more effectively the Government's periodicals. In the intervening years, the law and the Circular were revised. In 1981, instructions provided in Office of Management and Budget Bulletin No. 81-16 and Supplement No. 1, initiated a program to cut waste in Government spending on periodicals, pamphlets, and audio-visual products. A model control plan was designed to assist agencies in developing new or improved control systems to better manage these areas. A moratorium placed on expenditures for new publications and audio-visual products was lifted following OMB approval of each agency's control system and the subsequent elimination of unnecessary periodicals, pamphlets, and audio-visual products. OMB Circular A-114 has been revised to govern the management of Federal audio-visual activities. This revision of OMB Circular A-3 institutes an annual review of Federal periodicals and establishes guidelines and procedures for a coordinated and uniform method of agency reporting and OMB approval.

4. Policy. Expenditure of funds shall be approved only for periodicals that provide information, the dissemination of which is necessary in the transaction of the public business required by law of the agencies. The OMB-approved control system shall continue to be implemented and used to monitor periodicals and non-recurring publications. Periodicals and non-recurring publications will be prepared and disseminated in the most cost-effective manner possible.

5. Definitons. For purposes of this Circular, the following terms are defined.

a. Agency. Department, independent agency or establishment of the Executive Branch of the Government. The Department of Defense shall be considered one agency.

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b. Periodical (Recurring Publication) 1/. Any publication issued by a Federal agency annually or more often with a format, content, and purpose consistent in nature.

c. Non-Recurring Publication (Pamphlet). Any publication issued by a Federal agency on a one-edition basis. This includes leaflets, bulletins, folders, books, booklets, reports, speeches, and similar non-recurring publications, including those reprinted based on evidence of need to maintain inventory.

FOOTNOTE.

1. This does not include:

o Memoranda, directives, regulations, legal opinions and decisions, proceedings, programs for ceremonies, press releases, environmental impact statements and assessments, planning documents and other purely administrative materials.

o Primarily (90 percent or more) statistical materials. This exception does not apply to publications that contain statistics from published sources other than the agency issuing the publication or analytical and interpretative text.

o Research and development reports that are the direct result of research contracts and are distributed to Federal Government employees and the contractor involved in the work and technical books, monographs and journal articles that are published by commercial publishers and professional associations.

o Official instructional/informational documents of a permanent nature, published as a supplement to directive systems of Executive Branch agencies.

o Annual update of instructional information publications made available to the public to inform them of laws and regulations and to assist them in complying with reporting requirements.

This does include internal agency news letters and annual reports.

d. Obligations. Total annual cost of publication, on the basis of obligation, including all direct and indirect costs for editing, graphics, layout, composition, printing, duplicating, distribution, mailing, postage, and storage. Includes research and writing done by Federal staff or contract personnel to develop the material for publication. The term "research" applies to editorial investigation and not to scientific and technical inquiry.

e. Collections. Amounts received by the agency in the form of subscriptions, user and other fees, through sales of periodicals and non-recurring publications.

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6. Required Actions. To ensure that the provisions of this Circular are followed, the heads of agencies shall comply with the following:

a. Control. Each agency shall continue to maintain and implement on OMB-approved publications control system as originally directed by OMB Bulletin No. 81-16 and the model control plan. This system shall be used to monitor and review periodicals and non-recurring publications to assure that they are necessary in the transactions of the public business required by law of the agencies.

b. Reporting. Annually, the head of each agency shall prepare a report on periodicals and non-recurring publications. This shall include: (1) a listing of current and proposed periodicals; (2) actual and projected spending for periodicals and non-recurring publications; and (3) detailed justifications for proposed periodicals. This shall document all decisions made during the previous fiscal year.

The agency head shall certify that the reported periodicals are necessary in the transaction of the public business required by law of that agency and that mailing lists have been updated.

OMB will issue annual reporting instructions.

c. Approval. OMB will respond to the agency's annual report within 45 days of receipt. In its response, OMB will approve or disapprove the periodicals listed for new or continued use or may request additional information on certain periodicals. The heads of Executive agencies shall justify the development and issuance of each proposed periodical to the Director of the Office of Management and Budget at the annual reporting time. Periodicals may also be presented to OMB for approval at other times of the year. OMB will respond to these supplemental requests within 45 days of receipt. New periodicals should be proposed at the annual reporting time whenever possible in order to develop a systematic process for planning and publishing periodicals. Instructions on the approval proscess will be contained in the bulletin sent to the agency each year.

d. Renewal. Renewal of approval to issue periodicals is given when the annual report is approved by OMB.

7. Policy Review. The policy contained in this Circular shall be reviewed for effectiveness by the Office of Management and Budget three years from date of issue.

8. Inquiries. All questions or inquiries should be addressed to the Office of Management and Budget, Management Improvement Division, 726 Jackson Place, N.W., Washington, D.C. 20503. Telephone number (202) 395-6905.

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9. Effective Date. This Circular is effective immediately.

David A. Stockman
Director

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01 - Exhibit 01--Continued

EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON DC
May 2, 1985

OMB BULLETIN NO. 85-14

TO THE HEADS OF EXECUTIVE DEPARTMENTS AND ESTABLISHMENTS

SUBJECT: Annual Report on Government Publications

1. Purpose. This Bulletin provides instructions and materials for the submission of the Annual Report on Government Publications.

2. Background. Section 1108 of Title 44 stipulates that the Director of the Office of Management and Budget shall give approval to the heads of Executive departments, independent agencies and establishments for the printing of periodicals from available obligations.

Pursuant to Title 44 and in compliance with OMB Circular A-3, "Government Publications" (revised _____), agency heads shall submit a listing of current and proposed periodicals, expenditure information for both periodicals and non-recurring publications and justifications for proposed periodicals.

3. Coverage. The requirement for the Annual Report on Government Publications applies to all departments, independent agencies and establishments of the Executive Branch of the Government.

4. Required Materials. In the Annual Report on Publications, due June 30, 1885, agencies shall request approval for all periodicals, both those proposed and those already being published, from the Director of the Office of Management and Budget.

Attachment A

Provide appropriate details for each periodical in your agency's inventory as shown in exhibit 01, prepared in accordance with Attachment A.

Annual Reporting Requirements for Periodicals
Instructions to Update Data Listing

Report, as shown in exhibit 01, your agency's periodicals requiring OMB approval, as defined in OMB Circular A-3, "Government Publications." Provide separate listings for existing and proposed periodicals. For your use we are providing a listing of your agency's periodicals now in OMB's system.

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As indicated in exhibit 1 reporting should be by major bureaus or units within the department or agency. This reporting shall document all decisions made during the previous fiscal year.

Your agency is not required to provide a listing of non-recurring publications as part of the annual report. Non-recurring publications are subject to your agency's publications control system, and information on individual non-recurring publications may be requested from time to time by OMB.

ITEM#

1 - OMB Reference Number: OMB-provided, for internal OMB use only.

2 - Title: Abbreviate, if necessary, and identify clearly to fit space for maximum limit of 37 characters.

3 - Frequency: Regularity with which periodicals are issued. Enter appropriate 3-digit code:

001, 002, 003, etc.	once, twice, three times, etc. per year on a regular basis.
501, 502, 503, etc.	once, twice, three times, etc. per year on a irregular basis.

4 - Pages per Issue: Identify average number of pages using maximum of 4 digits.

5 - Price per Issues: Write "0" if periodical is distributed free of charge. Enter maximum of 5 digits.

6 - Approval Code: Basis for agency's approval of periodical. Identify by using appropriate letter code:

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01 - Exhibit 01--Continued

ATTACHMENT A PERIODICAL INVENTORY -- DATA LISTING PAGE
EXHIBIT 1 AGENCY: _____
OMB Bulletin No. BUREAU: _____

1 OMB	2 TITLE	3 FREQ	4 PAGE/ ISSUE	5 PRICE/ ISSUE	6 APPROV CODE	7 FIRST ISSUE	8 TOTAL VOLUME	9 AGENCY VOLUME	10 AGENCY COLLECTIONS	11 GPO SALE	12 TOTAL OBLIGATIONS
AGENCY-BUREAU											
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01 - Exhibit 01--Continued

OMB Bulletin No. 85-14
Attachment B

Obligations for Government-Funded Periodicals and
Non-Recurring Publications

Provide total obligations for periodicals and non-recurring publications, both current and proposed, for fiscal years indicated on the attached exhibit 02.

OBLIGATIONS FOR FEDERAL PERIODICALS AND
NON-RECURRING PUBLICATIONS
(DOLLARS IN THOUSANDS)

AGENCY

Dates:

Agency Contact:

Phone:

	1984	1985	1986	1987
1. Periodicals				
2. Non-recurring publications				
Total Costs (1. + 2.)				

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OMB Bulletin No. 85-14
Attachment C

Request for Approval of New Periodicals

The request for approval for proposed periodicals as part of the Annual Report should contain the following information. A supplemental request for approval of new periodicals proposed at other times of the year should contain the same information.

(1) Description.

(a) Name of periodical.
(b) Issuing agency, bureau of other organizational unit and name and title of official requesting this approval.
(c) Frequency of issue.
(d) Number of pages.
(e) General content.
(f) Number of copies per issue for limited free distribution to:

1 - Agency personnel, plus contractors directly per audience, i.e., Congress, other Government agencies, non-Government).

2 - External audiences: (Specify quantity per audience, i.e., Congress, other Government agencies, non-Government).

(h) Estimated annual cost broken down by:

1 - Salaries, materials, and other expenses associated with preparing the manuscript. Include costs for editing and for research and writing done by Federal staff or contract personnel to develop the material for publication. The term "research" applies to editorial investigation and not to scientific and technical inquiry.

2 - Graphics, layout, and composition.

3 - Printing, duplication, and binding.

4 - Distribution and storage. Include specific information on mailing class and postage costs.

(1) Appropriation(s) to be charged.

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(2) Justification

(a) Comprehensive statement of the necessity for the periodical, including any specific statutory authorization, describe why the periodical is necessary in transacting the public business which the agency is required by low to undertake.

(b) Statement justifying the number of copies proposed for non-Government free distribution and explaining why distribution should be free instead of by sale.

(3) Certificate of necessity.

Each issue of the periodical which has been approved under this Circular will indicate certification as follows:

The (Secretary) (Administrator) of has determined that the publication of this periodical is necessary in the transaction of the public business required by law of this (Department) (Agency) - _____.

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