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Department of Defense

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Director of Administration and
Management, Office of the Secretary
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DoD Forms Management Program

Procedures Manual

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Director of Administration and Management



OFFICE OF THE SECRETARY OF DEFENSE

WASHINGTON, DC 20301

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FOREWORD

This Manual is issued under the authority of DoD Instruction 7750.7, "Department of Defense Forms Management Program," May 31, 1990. It provides guidance for the creation, coordination, printing, control, and distribution of DoD (DD) Forms, Standard Forms (SF), Optional Forms (OF), or DoD Component Forms; e.g., Secretary of Defense (SD), or Departmental forms such as Department of Army (DA), their change, and the different media in which they may be created or used.

This Manual applies to the Office of the Secretary of Defense (OSD), the Military Departments (including the National Guard and Reserve Components), the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Unified and Specified Commands, the Inspector General of the Department of Defense, the Defense Agencies, and the DoD Field Activities (hereafter referred to collectively as "the DoD Components"). This Manual is effective immediately and is mandatory for use by all of the DoD Components.

Send recommended changes to this Manual through the appropriate channels to:

Director
Washington Headquarters Services
Directorate for Information Operations and Reports
1215 Jefferson Davis Highway, Suite 1204
Arlington, VA 22202-4302

The DoD Components may obtain copies of this Manual through their own publication channels. Other Federal Agencies and the public may obtain copies from the National Technical Information Service, U.S. Department of Commerce, 5285 Port Royal Road, Springfield, VA 22161.

D. O. Cooke
Director

1
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TABLE OF CONTENTS

	<u>PAGE</u>
Foreword	i
Table of Contents	ii
Figures	v
Tables	vi
References	vii
Definitions	ix
Abbreviations and/or Acronyms	xiii
CHAPTER 1 - GENERAL INFORMATION	
A. Issuance and Purpose	1-1
B. Definitions	1-1
C. Policy	1-1
D. Responsibilities	1-2
1. The Assistant Secretary of Defense (Command, Control, Communications, and Intelligence)	1-2
2. The Director, Washington Headquarters Services	1-2
3. The Heads of the DoD Components	1-4
4. The DoD Component Forms Management Officers	1-4
E. Information Requirements	1-7
CHAPTER 2 - FORMS - GENERAL	
A. Types of Forms	2-1
1. Standard Form (SF)	2-1
2. Optional Form (OF)	2-1
3. Department of Defense (DD) Form	2-1
4. DoD Component Form	2-2
B. Forms Media	2-2
1. Paper Forms	2-2
2. Electronic Forms	2-2
C. Forms Publications	2-3
1. Standard and Optional Forms	2-3
2. DD Forms	2-3
3. DoD Component Forms	2-3
D. Prescribing Directives	2-3

E. Applicable Regulations	2-4
1. DoD Reports Management Program	2-4
2. Privacy Program	2-6
3. Computer Matching Program	2-7
4. Freedom of Information Act Program	2-7
5. U.S. Postal Service (USPS) Requirements	2-9
6. Data Standardization Program	2-9
F. Forms that Relate to Accounting Fiscal Operations	2-10
G. Evaluating Suggestions that Relate to Forms	2-10

CHAPTER 3 - CREATION OR REVISION OF FORM

A. SFs and OFs	3-1
1. SF/OF Request Package	3-1
2. SF/OF Request Procedures	3-5
B. DD Forms	3-7
1. DD Forms Request Package	3-7
2. DD Forms Request Procedures	3-8
C. DoD Component Forms	3-9

CHAPTER 4 - DESIGN OF FORMS

A. Design Guidelines	4-1
1. DoD Design Guidelines	4-1
2. DoD Component Design Guidelines	4-6
B. The Design Process	4-7
1. SFs and OFs	4-7
2. DD Forms	4-9
3. DoD Component Forms	4-10

CHAPTER 5 - EXCEPTIONS TO FORMS

A. Types of Exceptions	5-1
1. Content Exception	5-1
2. Format Exception	5-1
3. Printing Exception	5-1
4. Electronic Form Exception	5-1
B. SFs and OFs Forms	5-2
1. Content, Format, and Printing Exceptions	5-2
2. Electronic Forms Exception	5-5
3. Effect of Form Revision on Approved Exceptions	5-5
C. DD Forms	5-6
1. Content, Format, and Printing Exceptions	5-7
2. Electronic Forms Exceptions	5-8
D. DoD Component Forms	5-9

CHAPTER 6 - PRINTING OF FORMS

A. Printing and Distribution Costs	6-1
B. Centralized Printing of Forms	6-1
C. Local Reproduction Authorized (LRA) Forms	6-1
D. Copying of Forms	6-1
E. Reproduction of SFs and OFs	6-1

CHAPTER 7 - SECURITY AND CONTROL OF FORMS

A. Form Security	7-1
1. Blank Forms	7-1
2. Completed Forms	7-1
B. Control of Forms	7-1
1. Safeguard Forms	7-1
2. Controlling Distribution and Use of Forms	7-1

CHAPTER 8 - DISTRIBUTION OF FORMS

A. SFs and OFs	8-1
1. Paper Media	8-1
2. Electronic Media	8-1
B. DD Forms	8-3
1. Paper Media	8-3
2. Electronic Media	8-3
C. DoD Component Forms	8-3

CHAPTER 9 - CANCELLATION OF FORMS

A. SFs and OFs	9-1
B. DD Forms	9-1
C. DoD Component Forms	9-1

FIGURES

<u>Figure</u>	<u>Title</u>	<u>Page</u>
2-1	Department of Defense Privacy Office	2-8
3-1a	Sample SF 152, "Request for Clearance or Cancellation of a Standard or Optional Form or Exception" (Front)	3-2
3-1b	Sample SF 152, "Request for Clearance or Cancellation of a Standard or Optional Form or Exception" (Back)	3-3
3-2	Approval Process for DoD Sponsored SFs and OFs	3-6
3-3	Sample DD Form 67, "Form Processing Action Request"	3-10
3-4	Approval Process for DD Forms	3-17
4-1	Federal Supply Service (FSS) - Federal Supply Catalogue Ordering Information	4-2
4-2	DD Forms Design Process	4-8
5-1	Approval Process for DoD Exceptions to SFs and OFs	5-4
5-2	Approval Process for DoD Component Exceptions to DD Forms	5-7
8-1	Federal Supply Service (FSS) - SF and OF Ordering Information	8-2
8-2	Forms Distribution Information - Major DoD Components	8-5

TABLES

<u>Table</u>	<u>Title</u>	<u>Page</u>
1	Instructions for Completing SF Form 152, "Request for Clearance or Cancellation of a Standard or Optional Form or Exception"	3-4
2	Instructions for Completing DD Form 67, "Form Processing Action Request"	3-11

REFERENCES

- (a) DoD Instruction 7750.7, "DoD Forms Management Program," May 31, 1990
- (b) DoD Directive 5110.4, "Washington Headquarters Services," May 6, 1991
- (c) Administrative Instruction 86, "OSD Forms Management Program," November 21, 1985
- (d) DoD 5025.1-M, "DoD Directives System Procedures," December 1990, authorized by DoD Directive 5025.1, December 23, 1988
- (e) DoD 7750.7-L, "Listing of Approved Department of Defense (DD) Forms," (semiannual), authorized by DoD Instruction 7750.7, May 31, 1990
- (f) Administrative Instruction 86-L, "Listing of Approved Secretary of Defense (SD) Forms," (semiannual), authorized by AI 86, November 21, 1985
- (g) Federal Information Resources Management Regulation (FIRMR), as amended, 41 CFR 201-9, "Creation, Maintenance, and Use of Records"
- (h) FIRMR 41 CFR 201-9.202-1, "Standard and Optional Forms Management Program"
- (i) DoD Instruction 5000.12, "Data Elements and Data Codes Standardization Procedures," April 27, 1965
- (j) "Standard and Optional Forms Facsimile Handbook," U.S. General Services Administration, 1988¹
- (k) "Inventory of Standard and Optional Forms," U.S. General Services Administration (semiannual)
- (l) DoD Directive 7750.5, "Management and Control of Information Requirements," August 7, 1986
- (m) DoD 7750.5-M, "DoD Procedures for Management of Information Requirements," November 1986, authorized by DoD Directive 7750.5, August 7, 1986
- (n) DoD 7750.5-L, "Listing of Approved Recurring Information Requirements," (semiannual), authorized by DoD Directive 7750.5, August 7, 1986
- (o) DoD 5010.12-L, "Acquisition Management Systems and Data Requirements Control List (AMSDL)," October 1990, authorized by DoD Directive 5010.12, January 23, 1989
- (p) DoD 5400.11-R, "DoD Privacy Program," August 31, 1983, authorized by DoD Directive 5400.11, June 9, 1982
- (q) DoD 5400.7-R, "DoD Freedom of Information Act Program," October 1990, authorized by DoD Directive 5400.7, May 13, 1988
- (r) DoD 4525.8-M, "DoD Official Mail Manual," July 1987 authorized by DoD Directive 4525.6, May 5, 1980
- (s) DoD Directive 5000.11, "Data Elements and Data Codes Standardization Program," December 7, 1964

¹Available from the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402

- (t) DoD Instruction 5000.18, "Implementation of Standard Data Elements and Related Features," March 17, 1969
- (u) DoD 5000.12-M, "DoD Manual for Standard Data Elements," July 1989, authorized by DoD Instruction 5000.12, April 27, 1965
- (v) Section 3511 of title 31, United States Code, "Prescribing Accounting Requirements and Developing Accounting Systems"
- (w) DoD 5200.1-R, "Information Security Program Regulation," June 1986, authorized by DoD Directive 5200.1, June 7, 1982
- (x) "Forms Analysis and Design," Records and Information Management Handbook, General Services Administration, 1980²
- (y) Title 5, Code of Federal Regulations, Part 1320, "Controlling Paperwork Burdens on the Public"
- (z) Federal Acquisition Circular 84-53, December 28, 1989²
- (aa) DoD 4000.25-1-M, "Military Standard Requisitioning and Issue Procedures" (MILSTRIP), May 1987, authorized by DoD Directive 4000.25, "Administration of Defense Logistics Standard Systems", November 18, 1983
- (ab) FIRMR 41 CFR 101-26.200, "Federal Requisitioning System"²

²Available from Federal Supply Service, General Services Administration, 3FNI-CO, Room 405, Crystal Mall 4, Washington, D.C. 20406

DEFINITIONS

1. DoD Component. An element of the DoD that collectively includes the following:
 - a. Office of the Secretary of Defense
 - b. Chairman of the Joint Chiefs of Staff and Joint Staff
 - c. Military Departments
 - d. Inspector General of the Department of Defense
 - e. Defense Agencies
 - f. DoD Field Activities

2. DoD (DD) Form. A form approved by the Washington Headquarters Services (WHS), Directorate for Information Operations and Reports (DIOR), for use by two or more DoD Components. The use of the form is either prescribed or adopted.
 - a. Prescribed Form. Requires mandatory use by all DoD Components to whom the subject matter applies. Its use is prescribed by a DoD issuance; i.e., DoD Directive, DoD Instruction, DoD Manual, and changes thereto, or other prescribing documents such as a DoD Memorandum, a Public Law, or a Military Standard.

 - b. Adopted Form. The use of this form is optional by DoD Components. Normally, a form in this category is initiated by a DoD Component in conjunction with one or more other DoD Components. Its use is prescribed by a DoD Component Regulation, Manual, or Instruction from each of the respective services who use the form.

3. DoD Component Form. A form approved by a DoD Component for general use only within that Component. This includes:
 - a. Component Form. A form approved by the DoD Component Forms Management Officer (FMO) for use by two or more of the DoD Component's commands.

 - b. Command Form. A form originated by a subordinate level of a DoD Component, which is prescribed by regulatory publication for use by more than one organization in such command.

 - c. Installation Form. A form approved by the head of a DoD Component installation and which is prescribed by regulatory publication for use by more than one organization on the installation.

 - d. Office Form. A form approved for use only within one office of a headquarters, command, or installation. It does not have to be prescribed by regulatory publication.

4. DoD Component Forms Management Officer (FMO). The DoD Component's point of contact responsible for the DoD Component Forms Management Program.
5. Electronic Data Entry of a Form. The entry of data onto a form from a computer or other electronic storage data input device. The data are either printed in the appropriate blocks of a preprinted paper form or merged with the computer file of the form image so that the image of the completed form can be viewed on the computer screen and/or printed on blank paper.
6. Electronic Data Interchange. The computer-to-computer exchange of routine business information. All transactions are sent and received in a machine-readable format, using nationally and internationally recognized commercial data formats, commonly referred to as standards or transaction sets.
7. Electronic Form. A form whose image is stored in magnetic, optical, video, or other type of file and can be retrieved electronically to print the form and/or to produce an image of the form on a computer screen.
8. Exception. An approval for an agency to change the content, format, or printing specifications, or create an electronic version of a form.
 - a. Content exceptions are changes to the data elements of a form; i.e., additions, deletions, or revisions.
 - b. Format exceptions are changes made by rearranging the data elements or spacing of entries on a form without change to the data elements.
 - c. Printing exceptions are changes in the printing specifications of a form; e.g., changes to paper, including size, and the establishment of sets, marginally-punched construction(s), etc., that result in no changes in content or format.
9. Federal Information Processing (FIP) system means any organized combination of FIP equipment, software, services, support services, or related supplies.
10. Form. A fixed arrangement of captioned spaces designed for entering and extracting prescribed information, regardless of media.
11. Format. A guide, table, sample, or exhibit that illustrates a predetermined arrangement or layout for presenting information. Most formats are largely narrative in nature and the space needed by the respondents to furnish the desired information varies substantially. Formats are often used where the arrangement and

layout of items are simple and flexible and where the number of respondents is comparatively limited. A format is used instead of a printed form in such instances, requiring a less expensive and more effective method of collecting the desired information.

12. Form Designation. The alphabetic preface to the form number that identifies the promulgator of the form. For example, the form designation "DA" indicates that the form is a Department of Army form.

13. Licensing. The act of approving an information collection. The license authorizes the Office of Primary Responsibility (OPR) to collect the approved information from the designated respondents. Respondents may be either members of the public, DoD organizations, or other Federal Agencies.

14. Office of Primary Responsibility (OPR). The DoD Component that assumes responsibility for the overall ownership of a specific form. This definition means the same as the term "promulgator" as used by the Standard and Optional Forms Management Program.

15. Optional Form (OF). A form developed for use in two or more Federal Agencies and approved by the General Services Administration (GSA) for nonmandatory governmentwide use. The agency that developed and promulgated the form usually announces its availability after it has been approved by the GSA.

16. Overprinting. The printing of pertinent identical entries; e.g., agency name and address, in a captioned area on a form. If overprinting changes the content of the form, it is considered a revision. All overprinting must be approved by the appropriate DoD Component Forms Management Officer (FMO). Overprinting may be done at the time the form is printed or on a blank form that has been preprinted initially.

17. Personal Information. Information about an individual that is intimate or private to the individual; e.g., home address, date of birth, age, or social security number, as distinguished from information related solely to the individual's official functions or public life.

18. Prescribing Directive. The written communication that initiates or governs an action, conduct, or procedure. The prescribing directive establishes a requirement for and prescribes the mandatory use of a form by the organizations and individuals identified in the scope of the directive, unless instructions in the directive specifically state otherwise, or a written waiver is granted. Directives are often issued as circulars, notices, regulations, orders, and handbooks, and include materials usually issued to multiple addressees in multiple copies for insertion in policy, administrative, or

operations manuals. News releases, program announcements, catalogs, price lists, training materials, and correspondence are not included.

19. Public. Members of the public are individuals, partnerships, associations, corporations, business trusts, legal representatives, organized groups of individuals, States, territories, or local governments, or components thereof. Current employees of the Federal Government are not members of the public for the collection of information within the scope of their employment. Contractors who work for the Department of Defense are considered to be members of the public.

20. Report. Data or information transmitted for use in determining policy; planning, controlling, and evaluating operations and performance; making administrative decisions; or preparing other reports.

21. Standard Form (SF). A form prescribed by a Federal Agency, pursuant to its authority, and approved by the GSA for mandatory governmentwide use. Such mandatory use is generally in the regulations of the promulgating agency.

ABBREVIATIONS AND/OR ACRONYMS

ADN	Agency Disclosure Notice
DA	Department of the Army
DD Form	DoD Form
DID	Data Item Description
DIOR	Directorate for Information Operations and Reports
DoD	Department of Defense
DPO	Defense Privacy Office
FAC	Federal Acquisition Circular
FAR	Federal Acquisition Regulation
FEDSTRIP	Federal Standard Requisitioning and Issue Procedures
FMO	Forms Management Officer
FSS	Federal Supply Service
GAO	General Accounting Office
GPO	Government Printing Office
GSA	General Services Administration
IMCO	Information Management Control Officer
IRCN	Interagency Report Control Number
MILSTRIP	Military Standard Requisitioning and Issue Procedures
OF	Optional Form
OMB	Office of Management and Budget
OPR	Office of Primary Responsibility
OSD	Office of the Secretary of Defense
PAS	Privacy Act Statement
POC	Point of Contact
RCS	Report Control Symbol
SF	Standard Form
USPS	United States Postal Service
WHS	Washington Headquarters Services

CHAPTER 1

GENERAL INFORMATION

A. Issuance and Purpose. This Manual implements policy, assigns responsibilities, and provides specific procedures for the management of the Department of Defense Forms Program, consistent with DoD Instruction 7750.7 (reference (a)). This Manual:

1. Applies to the creation, revision, cancellation, distribution, and use of forms and to processing and using exceptions to existing forms.

2. Applies to all media of forms, whether paper or electronic.

3. Does not apply to forms:

a. Used exclusively for cryptological activities.

b. With an annual usage of 100 or fewer, except for SFs and OFs.

c. Used only once as part of a survey.

d. That are formats, as defined in this Manual.

e. Without spaces for entering information, such as instruction sheets, bulletins, pamphlets, notices, contract clause sheets, placards, pattern letters, guide letters, and form letters. However, these items may be assigned form numbers and controlled through the Forms Management Program for referencing, printing, and distribution, or to maintain the inventory.

B. Definitions. The terms used in this Manual are defined in the Definitions section on page ix.

C. Policy. It is DoD policy that responsible officials at all levels within the DoD Forms Management Program shall:

1. Ensure that a form satisfies a valid need and is necessary for the efficient and economical operation of the Department of Defense.

2. Minimize the cost of using forms by developing forms that are easy to fill-in, read, transmit, process, and retrieve.

3. Increase the usefulness of information on forms through proper design and clear instructions.

4. Promote standardization and consolidation of forms.

5. Promote the use of technology to facilitate the creation, distribution, and use of forms.

6. Promote the use of common definitions of information contained in forms.

D. Responsibilities.

1. The Assistant Secretary of Defense (Command, Control, Communications, and Intelligence) shall provide overall policy for the DoD Forms Management Program as specified by DoD Instruction 7750.7 (reference (a)).

2. The Director, Washington Headquarters Services, shall manage the DoD Forms Management Program under DoD Directive 5110.4 (reference (b)) by:

a. Implementing DoD Forms Management policy as specified in reference (a).

(1) Providing guidance and assistance to DoD Component Forms Management Officers (FMOs) on forms management issues and collaterally serving as the FMO for the OSD Component and providing guidance and assistance to OSD points of contact (POCs) consistent with AI 86 (reference (c)).

(2) Maintaining and publishing this Manual consistent with DoD 5025.1-M (reference (d)).

(3) Conducting periodic reviews and studies to ensure that the DoD Component FMOs and OSD Points of Contact (POC) follow the policies and procedures of the DoD Forms Management Program and that these policies and procedures are implemented in the DoD Component Forms Management Programs.

b. Operating the DoD (DD) Forms Management Program by:

(1) Implementing DoD Forms Management policy and procedures in the DD Forms Management Program.

(2) Reviewing and approving or disapproving all requests to create, revise, or cancel DD Forms.

(3) Notifying all using DoD Components of any new, revised, or cancelled DD Forms.

(4) Assigning form numbers and edition dates for all DD Forms.

(5) Periodically reviewing all active DD Forms for continued need and effectiveness and for conformity to policy and procedures.

(6) Eliminating duplicate DD Forms.

(7) Ensuring that all DD Forms are raised to the highest level of forms designation.

(8) Designing all DD Forms.

(9) Ensuring that all DD Forms soliciting personal information contain an appropriate Privacy Act Statement (PAS).

(10) Creating or approving the creation of the camera ready copy of all DD Forms.

(11) Approving the creation of electronic versions of all DD Forms.

(12) Maintaining a database of DD Forms.

(13) Maintaining an accurate inventory of all current, cancelled, and draft DD Forms.

(14) Maintaining necessary management information and a historical record for each DD Form.

(15) Publishing DoD 7750.7-L (reference (e)) in accordance with DoD 5025.1-M (reference (d)).

(16) Publishing OSD 86-L (reference (f)) in accordance with DoD 5025.1-M (reference (d)).

(17) Compiling and maintaining developmental and operational costs for public-use and interagency report forms using the format and instructions contained on SF 335, "Summary Worksheet for Estimating Forms Costs," as required by FIRMR 41 CFR 201-9 (reference (g)).

c. Performing the duties of the DoD Component FMO for the Secretary of Defense Component, with the assistance of the OSD POCs.

d. Performing the duties of the DoD Standard and Optional Forms Liaison Representative in accordance with (reference (h)) by:

(1) Reviewing, coordinating, and approving all requests to create, revise, or cancel Standard Forms (SFs) or Optional Forms (OFs) promulgated by the Department of Defense, before forwarding to the GSA for final approval.

(2) Reviewing all DoD requests for exceptions to SFs or OFs, before forwarding to the GSA for approval.

(3) Ensuring that all revisions to DoD-promulgated SFs and OFs and DoD-requested exceptions are cleared by the GSA before implementation.

(4) Maintaining a historical record for each DoD promulgated SF and OF and each DoD requested exception to an SF or OF.

(5) Maintaining an accurate database of exceptions granted to the DoD Components.

(6) Conducting reviews of exceptions to SFs and OFs for continued need.

(7) Distributing SF and OF information and publications received from the GSA to the DoD Component FMOs.

(8) Coordinating recommendations on requested exceptions to DoD promulgated SFs and OFs.

(9) Compiling and maintaining developmental and operational costs for public-use and interagency report forms using the format and instructions contained on SF 335, "Summary Worksheet for Estimating Forms Costs," as required by reference (g).

e. Maintaining liaison with the GSA, other Federal Agencies, and the private sector about the DoD Forms Management Program.

3. The Heads of the DoD Components shall implement the DoD Forms Management Program within their organizations, including:

a. Designating an individual to act as the DoD Component FMO to represent its interests to the DIOR, WHS. The heads of OSD Components shall designate an individual to serve as the POC to request approvals of SD Forms within each OSD Component office, and provide liaison with the assigned OSD FMO located in the DIOR, WHS.

b. Submitting all forms requests, actions, or queries about DD Forms, SFs, or OFs, through their respective DoD Component FMO, to the DIOR, WHS.

4. The DoD Component Forms Management Officers shall implement and operate the DoD Components Forms Management Program and manage the DD, SF, and OF programs within their DoD Component, including:

a. Implementing the DoD Forms Management policy and procedures within their DoD Component Forms Management Program.

b. Acting as liaison between the DoD Components and the DIOR, WHS, on all forms matters.

c. Providing guidance and assistance to DoD Component users on all forms matters.

d. Operating their DoD Component Forms Management Program by:

(1) Establishing a DoD Component Forms Management Program that is in compliance with DoD Instruction 7750.7 (reference (a)) and this Manual.

(2) Establishing internal procedures for creating, revising, distributing, and cancelling DoD Component forms.

(3) Ensuring that their DoD Component forms are properly identified by form number and edition date.

(4) Periodically reviewing their active DoD Component forms for continued need and conformity to policy and procedures.

(5) Eliminating duplicate DoD Component forms.

(6) Ensuring that their DoD Component forms are raised to the highest level of forms designation.

(7) Ensuring that GSA and DoD design guidelines are incorporated into DoD Component forms.

(8) Ensuring that their DoD Component forms soliciting personal information contain an appropriate PAS.

(9) Maintaining an accurate inventory of all current DoD Component forms.

(10) Maintaining necessary management information and historical records for their DoD Component forms.

(11) Assisting the DIOR, WHS, in conducting reviews and studies of the DoD Component Forms Program.

(12) Managing their DoD Component Forms Management Program in accordance with DoD Forms Management policy and procedures.

(13) Compiling and maintaining developmental and operational costs for public-use and interagency report forms using the format and instructions contained in SF 335, "Summary Worksheet for Estimating Forms Costs," as required by FIRMR 41 CFR 201-9.202-1 (reference (h)).

e. Operating the DD Forms Management Program within their Component by:

(1) Reviewing and approving, as the requesting Forms Management Officer (FMO), all requests to create, revise, or cancel DD Forms, for which they have OPR status, before forwarding to the DIOR, WHS.

(2) Ensuring that all approved requests forwarded to the DIOR, WHS, are completed correctly.

(3) Periodically reviewing all agency-sponsored, high-use forms for possible improvement and all agency-sponsored forms that create a burden during preparation for possible elimination. Results of the review shall be reported to the DIOR, WHS. (See Chapter 1, subsection E.1., of this Manual.)

(4) Periodically reviewing the application of technology and the use of electronic versions of DD Forms by the DoD Component. Results of the review shall be reported to the DIOR, WHS. (See Chapter 1, subsection E.1., of this Manual.)

(5) Ensuring that GSA and DoD design guidelines are incorporated into DD Forms.

(6) Ensuring that all DD Forms contain data elements and data codes that are in conformity with DoD Instruction 5000.12 (reference (i)).

(7) Ensuring that all DD Forms soliciting personal information contain an appropriate PAS.

(8) Notifying DoD Component users of all new, revised, or cancelled DD Forms.

(9) Ensuring that a DD Form has been approved for electronic use before an electronic version of the form is used within their DoD Component.

(10) Assisting the DIOR, WHS, in the periodic reviews and studies of the DD Forms Management Program.

(11) Maintaining necessary management information and historical records for the DD Forms sponsored by the DoD Component.

(12) Ensuring that DoD Component users have access to the current edition of DD Forms that they require.

(13) Acting, when so designated by the Office of the Secretary of Defense as Executive Agent for a DD Form.

f. Operating the SF and OF Management Program within their DoD Component by:

(1) Reviewing, coordinating internally, and approving, as the requesting official, all requests for obtaining exceptions to existing SFs or OFs before forwarding to DIOR, WHS.

(2) Reviewing, coordinating with other using Federal Agencies, and approving, as the requesting official, all requests to create, revise, or cancel existing SFs or OFs before forwarding to the DIOR, WHS.

(3) Periodically reviewing those SFs and OFs that the DoD Component has sponsored, or for which they have received an exception, to determine and implement possible forms improvement, consolidation, and cancellation. Results of the review shall be reported to the DIOR, WHS. (See Chapter 1, subsection E.2, of this Manual.)

(4) Ensuring that all SF and OF requests submitted to the DIOR, WHS are accurate and complete. (See Chapter 1, subsection E.1, of this Manual.)

(5) Keeping users of SFs and OFs informed of changes, revisions, exceptions, and cancellations.

(6) Ensuring that new, revised, and exception versions of SFs and OFs are not implemented before GSA approval is obtained.

E. Information Requirements

1. The reporting requirements in Chapter 1, subparagraphs D.4.e.(3) and (4), have been assigned Report Control Symbol DA&M(A)1710.

2. The reporting requirement in Chapter 1, subparagraph D.4.f.(3), has been assigned Report Control Symbol DA&M(A)1735.

CHAPTER 2

FORMS - GENERAL

A. Types of Forms. The type of a form is determined by the scope of its intended use and is indicated by the form designation. There is a hierarchy of the types of forms. The lowest level of forms has the narrowest scope; the highest level of forms has the broadest. DoD Component Forms are at the lowest level and are used only by the individual component. SFs and OFs are at the highest level and are used throughout the Federal Government. It is DoD Forms Management policy to standardize forms throughout the DoD. A form should be standardized to its highest level of use, so that the common functionality of the form is shared and the total number of different forms used within the DoD community is minimized. As the scope of users of a form broadens, the form should be escalated to the appropriate level and the form designation should be changed to reflect its scope.

1. Standard Form (SF).

a. SFs are mandated for use by all Federal Agencies. SFs are sponsored by the Federal Agency and/or Department whose mission includes the function of the particular form. For example, the Office of Personnel Management sponsors the SF 171, "Application for Federal Employment." The use of an SF is mandated by a prescribing directive, regulation, or law.

b. SFs must be used as required. A DD or DoD Component Form shall not be used in place of an SF unless an exception is first obtained from GSA. Procedures for obtaining exceptions are outlined in Chapter 5 of this Manual.

2. Optional Form (OF). OFs are forms developed by a Federal Agency for use in two or more Agencies and approved by the GSA for nonmandatory Governmentwide use. The DoD may use a DD or a DoD Component Form in place of an OF. However, a change to an Optional Form must be approved by the GSA before its implementation if the OF number remains on the form.

3. Department of Defense (DD) Form. DD Forms are for use by more than one DoD Component. DD Forms may be adopted or prescribed. DoD Component FMOs should explore the possibility of using existing DD Forms before creating new DoD Component Forms. DoD Component FMOs should identify opportunities for consolidating related forms of the different DoD Components into DD Forms.

4. DoD Component Form.

a. DoD Component Forms are for use only within the given component organization as indicated by the form designation. For example, Department of Army (DA) forms are assigned a "DA" form number and are for use only by the Army.

b. Depending on the size of the DoD Component's Forms Management Program, there may be several levels of forms below the component level. These forms may be designated at the component's command, installation, or office level.

c. Where common functionality of installation forms exists among more than one installation within a command, duplicate installation forms should be eliminated and a single command form established. Common functionality among command forms should be explored for consolidation into DoD Component Forms.

B. Forms Media. The media in which forms are available are paper or electronic.

1. Paper Forms.

a. Paper is the primary media for forms. Forms are generally established, revised, and changed as paper forms.

b. Normally, paper forms are available as single cut sheets. However, unless there are mandatory printing specifications, forms can be printed in various constructions to meet the needs of the users. Users of SFs or OFs must use the existing GSA approved constructions stocked by the Federal Supply Service (FSS), unless they obtain an exception from the GSA. Printing specifications for each SF and OF are described in the "Standard and Optional Forms Facsimile Handbook" (reference (j)).

2. Electronic Forms. An electronic form is a form whose image is stored in a magnetic, optical, video or other type of file and can be retrieved electronically to print the form and/or to produce an image of the form on a computer screen.

a. Electronic forms are considered construction exceptions to the forms. For the requirements and procedures for obtaining electronic forms exceptions, see Chapter 5 of this Manual.

b. An electronic form must replicate exactly the contents (wording), format (layout), and sequence (arrangement) of the official form. Any variation in the content, format, or sequencing must be approved as a content and/or format exception to the form.

c. Electronic Data Entry for Forms. The entry of data onto a preprinted form from a computer system or terminal is electronic data entry. Electronic data entry is the responsibility of the using organization and does not require approval from the form sponsor.

d. Continuous, Pin-feed Construction of a Form. The offset printing of a form on pin-feed paper, so that the form can be fed through a printer on continuous paper, is a type of form construction and is not considered an electronic form.

C. Forms Publications.

1. Standard and Optional Forms. The GSA semiannually publishes and distributes the "Inventory of Standard and Optional Forms" (reference (k)). This publication provides a listing of current SFs and OFs. Clearance Registers that provide updates to the listing; i.e., new, revised, and cancelled forms are issued periodically. The DIOR, WHS, distributes reference (k) and its updates to the DoD Component FMOs.

2. DD Forms. The DIOR, WHS, semiannually publishes DoD 7750.7-L (reference (e)). This publication provides a listing of currently approved DD Forms by form number, subject matter, and title. Additional related management information is provided and all forms cancelled during the last 2 years are listed. Reference (e) is published and distributed to the DoD Component FMOs. The public and other Federal Agencies may obtain copies of reference (e) from the National Technical Information Service (NTIS).

3. DoD Component Forms. The DoD Component FMOs shall maintain accurate records about their DoD Component Forms Management Program. For information about DoD Component Forms publications, contact the appropriate DoD Component FMO listed in reference (e).

D. Prescribing Directives.

1. Must be published or updated prior to, or simultaneously with the approval of each new or revised form. With the exception of Office Forms, all forms must have a prescribing directive. Adopted Forms are prescribed by a governing directive from each agency using the form.

2. Cite the form designation, number and title; i.e., DD Form 67, "Form Processing Action Request," the first time the form is mentioned. Thereafter, only the designation and number are required; i.e., DD Form 67, unless repeating the title serves to clarify the text.

3. State the purpose of the form, who prepares it, how to complete it, the number of copies required and when and where to submit them. The illustration of the blank forms (those without sample entries) is prohibited, unless a waiver is granted. Sample entries provide visual information for completing the form; whereas, the blank illustration serves no useful purpose due to the fact that the typewriter alignment is lost when the form is reduced in size to accommodate the page size of the issuance. Forms completion instructions should reference the item number, title, etc., exactly as it appears on the form.

4. In the case of classified forms, explain the reason for the security classification, cite markings for downgrading, and provide declassification instructions.

5. Specify those activities or personnel authorized to requisition those forms that may be subject to fraudulent use, and describe the safeguards required for such forms. Include instructions for maintaining registers, receipts, and reports of loss or damage for Classified, Accountable, or Safeguard Forms.

6. Explain where to submit requisitions for a source of supply of forms if the source is other than the normal publishing distribution systems; i.e., other Government Agency forms. Information must include complete organization name and mailing address, to include 9-digit ZIP Code.

E. Applicable Regulations. A number of public laws, DoD issuances, and DoD programs have direct impact on the DoD Forms Management Program. The following must be considered in the management of the forms program and when reviewing any forms processing action:

1. DoD Reports Management Program. The purpose of the DoD Reports Management Program is to minimize the cost and burden of reporting requirements while ensuring that management officials are provided the exact information needed in the right place, at the right time, and in the format most useful to them for informed decisionmaking. The DoD Reports Management Program is established by DoD Directive 7750.5 (reference (l)), and is implemented by DoD 7750.5-M (reference (m)).

a. Use of Forms as Instruments to Collect Information. Forms that shall be used as instruments to collect information from subordinate commands within a DoD Component, from other DoD Components, from other Federal Agencies, or from the public must display the appropriate report control data and be controlled as instruments to collect information.

b. Coordination of Requests for Forms that are Used as Instruments to Collect Information.

(1) The OPR of forms to be used as instruments of collection shall coordinate the creation or revision of these forms with their DoD Component Information Management Control Officer (IMCO) or the appropriate DoD Reports Program Manager, DIOR, WHS. The DoD Component IMCOs are listed in DoD 7750.5-L (reference (n)).

(2) The DD Form 67, "Form Processing Action Request," that is submitted to create or revise a DoD Component or DD Form (see Figure 3-3), must provide the name, initials, office symbol, and telephone number of the coordinating DoD Component IMCO or the appropriate DoD Reports Management Officer, DIOR, WHS.

c. Display of Report Control Information. If a form is approved as an instrument for collecting information, the appropriate reports control information must be displayed on the finalized form. See Chapter 4 of this Manual for information about the display of reports control information on a form.

d. Types of Information Collections.

(1) Internal Reporting Requirements.

(a) An internal reporting requirement is data or information that is systematically collected and formatted by any organizational component and transmitted to another organizational component to meet an authorized and formally specified management information requirement.

(b) If a form is to be used by an OSD Component to collect information from DoD Components, the information request shall be submitted on an SD 455, "Request for Approval of Information Collection," through the DoD Component IMCO to the DoD Reports Manager, DIOR, WHS, who licenses the collection and assigns a Report Control Symbol (RCS) and number.

(c) If a form is to be used by a DoD Component to collect information from subordinate commands, the information request shall be submitted to the DoD Component IMCO for licensing and assignment of a DoD Component RCS Number. Each DoD Component has its own internal procedures for managing and controlling internal information requirements. The respective DoD Component procedures documents are listed in DoD 7750.5-M (reference (m)).

(2) Interagency Information Collections.

(a) An interagency reporting requirement is data or information that is transmitted between Federal Agencies for use in determining policy; planning, controlling, and

evaluating operations and performance; making administrative determinations; or preparing other reports.

(b) If a form is to be used by a DoD Component to collect information from another Federal Agency, the information request shall be submitted through the DoD Component IMCO to the appropriate DoD Reports Management Officer, DIOR, WHS, for review. The request is then forwarded to the GSA who licenses the collection and assigns an Interagency Report Control Number (IRCN) and expiration date.

(3) Public-Use Information Collections.

(a) A public-use reporting requirement is an information requirement imposed on the public. It is the obtaining or soliciting of information by an agency from 10 or more persons by means of identical questions, whether such collection of information is mandatory, voluntary, or required to obtain a benefit. Contractors with the Department of Defense are considered members of the public.

(b) If a form is to be used by a DoD Component to collect information from a member of the public, the information request shall be submitted through the DoD Component IMCO to the appropriate DoD Reports Management Officer, DIOR, WHS, for review. The request is then forwarded to the Office of Management and Budget (OMB) who licenses the collection and assigns an OMB Control Number and expiration date.

(c) A Data Item Description (DID) is a standardized contractual statement and/or requirement. Approved DIDs are listed in DoD 5010.12-L (reference (o)). Forms associated with DIDs are completed by contractors and are subject to review and licensing by OMB and must display the appropriate report control data. Contact the DoD Component IMCO for more information.

2. Privacy Program. A form used to collect personal data from an individual must contain a Privacy Act Statement (PAS). The PAS provides information to the individual completing the form, so that individual can make an informed decision about whether to provide the information. DoD 5400.11-R (reference (p)) provides policy for the development of an appropriate PAS for a form.

a. Privacy Act Coordination. All proposed new or revised forms that collect personal data shall be coordinated with the DoD Component's Privacy Act Officer. The DD Form 67 that the DoD Component submits to create or revise a DoD Component or DD Form shall provide the name, initials, office symbol, and telephone number of the coordinating DoD Component Privacy Act Officer.

(1) OSD Components. The Privacy Act Officer for the OSD Components is in the OSD Records Management Division, Directorate for Correspondence and Directives, WHS, room 5C315, the Pentagon.

(2) DoD Components. The DoD Privacy Office (DPO) maintains a list of the DoD Component Privacy Act Officers. See Figure 2-1 for information about obtaining a copy of the listing.

b. Display of PAS on a Form. If it is determined that the form is subject to the Privacy Act, an appropriate PAS shall be developed and displayed on the form. (For information on the placement of a PAS on a form, see Chapter 4, subparagraph A.1.i., of this Manual.

c. Privacy Systems of Records Notices. If personal information collected by the form must be entered into a system of records, the system of records identification shall be indicated in item 14a(3) of the DD Form 67 submitted for the approval of a DD Form. DPO publishes the "Privacy Systems of Records Notices." See Figure 2-1 for the address and telephone number of the DPO.

3. Computer Matching Program. Computer matching is the computerized comparison of automated systems of records, including payroll and personnel systems of records, with those of another Federal Agency or a non-Federal organization for the purpose of verifying benefits or entitlement. DoD 5400.11-R (reference (p)) implements the program within the Department of Defense.

a. Computer Matching Coordination. All proposed new or revised forms that are used to apply for benefits or entitlements or for payroll or personnel actions shall be coordinated with the DoD Component's Privacy Act Officer. The DD Form 67 that the DoD Component submits to create or revise a DoD Component or DD Form shall provide the name, initials, office symbol, and telephone number of the coordinating DoD Component Privacy Act Officer.

b. Statements Warning of Computer Matching. If it is determined that the information collected by the form may be subject to Computer Matching with other Federal Agencies or non-Federal organizations, an appropriate warning should be developed and incorporated into the PAS of the form.

4. Freedom of Information Act Program. DoD 5400.7-R (reference (q)) establishes policy and guidelines concerning public access to Federal records. The DoD Components are required to identify restricted information, including information contained on forms.

FIGURE 2-1

DEPARTMENT OF DEFENSE PRIVACY OFFICE

The Defense Privacy Office (DPO) maintains the listing of DoD Component Privacy Act Points of Contact and a listing of the Department of Defense Privacy Act Record System Notices. To obtain information about either of the above, contact:

Office of the Secretary of Defense
Defense Privacy Office
400 Army Navy Drive, Room 205
Arlington, VA 22202-2884

Telephone: (703) 614-3027

DSN: 224-3027

Telefax: (703) 693-6679

5. U.S. Postal Service (USPS) Requirements.

a. Forms that shall be used as mailers must be designed to meet the USPS requirements and specifications. DoD 4525.8-M (reference (r)) provides policy and procedures on DoD mail.

b. The draft of a form subject to the USPS specifications shall be coordinated with the USPS. USPS requirements must be incorporated into the design and the finalized draft shall be coordinated with DoD mail management officials, as necessary. The DD Form 67 that is submitted to create or revise a DD Form or a DoD Component Form shall provide the name, initials, office symbol, and telephone number of the coordinating DoD Component mail management official.

6. Data Standardization Program. The DoD Data Standardization Program is established by DoD Directive 5000.11, DoD Instructions 5000.12 and 5000.18, and DoD 5000.12-M (references (s), (i), (t), and (u)). These issuances also implement the program and list all the existing DoD standard data elements.

a. The need for standardizing data in the Department of Defense has become critical with the technological advances in computer system hardware, software, communications, and networking, and the interoperability requirements of DoD systems. The data structure of a standardized data element facilitates the flow of data between systems. The data definition of a standardized data element facilitates the understanding of information by the users of data.

b. Data Standardization Coordination.

(1) DoD Standard Data Elements shall be used in DD and in DoD Component Forms. This requirement applies to all types of forms, whether or not the information collected is intended for entry into a Federal Information Processing (FIP) system. All new or revised forms shall be coordinated with the appropriate DoD Component Data Standardization Point of Contact (POC) or with the DoD Data Standards Program Manager, ASD(C3I).

(2) The DD Form 67 that is submitted to create or revise a DD Form or DoD Component Form shall provide the name, initials, office symbol, and telephone number of the coordinating DoD Component Data Standardization Point of Contact (POC) or the DoD Data Standards Program Manager, ASD(C3I). To obtain a current listing of the DoD Data Standards POCs, contact the DoD Data Standards Program Manager, ASD(C3I).

F. Forms that Relate to Accounting Fiscal Operations. All accounting forms that relate to fiscal operations must be consistent with the principles, standards and related requirements prescribed by 31 U.S.C. 3511 (reference (v)).

G. Evaluating Suggestions that Relate to Forms. Changes in the format, content, or construction of a form may lead to improved use, effectiveness, or reduced costs of a form. Suggestions for changes to forms should be submitted, in accordance with the DoD Component Agency's Suggestion Program. Suggestions on forms must be submitted through the respective agency FMO and approved at the level of the designation of the form. For example, suggestions on DA forms shall be processed and approved by the Army; suggestions on DD Forms must be processed and approved by the DoD Component OPR; suggestions on SFs or OFs must be processed through official DoD suggestion channels to the DIOR, WHS, who forwards them to GSA for subsequent submission to the promulgating agency for final review and action.

CHAPTER 3

CREATION OR REVISION OF FORMS

A. SFs and OFs. The promulgating agency OPR shall submit requests to establish or revise SFs or OFs, or DoD exceptions thereto, to their DoD Component FMO in accordance with their Component procedures and Directives. The promulgating DoD Component FMO shall submit the forms request package to the DIOR, WHS.

1. SF/OF Request Package.

a. The forms request package shall include the following:

(1) A completed SF 152, "Request for Clearance or Cancellation of a Standard or Optional Form or Exception." A sample is at Figures 3-1a and 3-1b. Instructions for completing an SF 152 are found in Table 1.

(2) A draft of the proposed new or revised form, or the exception to the form.

(3) A copy of the proposed prescribing Directive or Regulation for an SF, or a copy of the proposed availability announcement for an OF.

(4) A copy of the printing specifications.

(a) The DoD promulgating agency OPR should consult with the Agency's printing specialist to develop the printing specifications.

(b) One of the following printing requisitions shall be used, as appropriate: SF 1, "Printing and Binding Requisition"; SF 1-C, "Printing and Binding Requisition for Specialty Items"; GPO Form 1026a, "Print Order for Marginally Punched Continuous Forms"; or GPO 2511, "Print Order." Printing requisitions are available from the promulgating Component printing procurement officer.

(5) For new and revised SFs, a copy of the laws or regulations that give the requesting organization the authority for the function that the form performs.

FIGURE 3-1a

REQUEST FOR CLEARANCE OR CANCELIATION OF A STANDARD OR OPTIONAL FORM OR EXCEPTION

FOR GSA USE ONLY

INSTRUCTIONS:

- For new and revised Standard and Optional forms, complete items 1 through 15b and 22 through 46. For exceptions to Standard and Optional forms, complete items 1 through 15b, plus items 38 through 40b. Forward the original and two copies of this form along with three copies of the items listed below to:

General Services Administration (KMAO)
Washington, D.C. 20405

- Supporting statement describing the situation or problem which makes the initiation, revision, cancellation, or deviation from this form necessary and desirable. (For exceptions, explain why agency cannot use form as promulgated or printed.) List names, titles and organizations of persons outside the promulgating/sponsoring agency with whom this material was discussed or coordinated. Include concurrences as well as major problems on which agreement could not be reached. Also, include an assessment of the effect on the process which the form supports and the anticipated increase or decrease in the cost of that process.
- Draft of form for all requests except cancellations.

- List of potential user agencies and their projected annual usage.
- Proposed implementing or canceling regulation/directive (for standard forms) or availability announcement (for optional forms).
- Printing specifications on Standard Form 1, Standard Form 1C, GPO Form 1026a, or GPO Form 2511, as appropriate.
- Other appropriate documentation.

- If form is to be used for public reporting (5 CFR 1320), include three copies of Standard Form 83 and supporting documentation. If form is an interagency report, include two copies of Standard Form 360 and one set of supporting documents.

SPECIAL INSTRUCTIONS:

- Complete and submit a separate set of clearance documents for each form for which clearance is requested (i.e., if one form is being canceled and replaced with another form, submit two sets of documents; one set to cancel the old form and another set to establish the new form). However, if a form is being revised and the old stock disposed of under the same National Stock Number, submit only one set of clearance documents.

1. REQUESTING DEPARTMENT OR AGENCY Department of Defense		2. REQUESTING BUREAU OR OFFICE Department of the Army Deputy Chief of Staff for Logistics		3. DATE REQUEST INITIATED May 20, 1991	
4. TYPE OF ACTION (X as applicable) <input type="checkbox"/> NEW <input checked="" type="checkbox"/> EXCEPTION <input type="checkbox"/> REVISION <input type="checkbox"/> CANCELLATION				5. TYPE OF FORM (X one) <input checked="" type="checkbox"/> STANDARD (SF) <input type="checkbox"/> OPTIONAL (OF)	
6. PROPOSED FORM TITLE Report of Excess Personal Property		7. PRESENT EDITION DATE April 1957		8. PROPOSED EDITION DATE N/A	
10a. PROMULGATING REGULATION OR DIRECTIVE (Required for Standard Forms ONLY) FPMR (41 CFR) 101-43.311		10b. DATE OF REGULATION N/A		11. OTHER CLEARANCES (X only if applicable) <input checked="" type="checkbox"/> OMB NUMBER 0704-0010 EXPIRATION DATE Jan 31, 1992 <input checked="" type="checkbox"/> INTERAGENCY RPT. NO. 0369-DOD-AN EXPIRATION DATE Feb 13, 1994	
12. HOW FEDERAL INFORMATION PROCESSING STANDARDS (FIPS) APPLY TO FORM (Automated forms only) (X one) <input type="checkbox"/> CONFORMS TO FIPS <input checked="" type="checkbox"/> NOT APPLICABLE TO FIPS <input type="checkbox"/> DEVIATION APPROVED (See attachment)		13. RELATED STANDARD OR OPTIONAL FORMS SF 120-A, Report of Excess Personal Property (Continuation Sheet)			
14. OFFICIAL SUBMITTING REQUEST (Name, title and signature) WILLIAM P. STURGILL Director, Supply and Resources Management Division Directorate for Logistics and Maintenance		15. AGENCY STANDARD AND OPTIONAL FORMS LIAISON REPRESENTATIVE (Name and signature) RUTH A. PEACE DoD SF/OF Liaison Officer			
14a. TELEPHONE NUMBER (Include Area Code) (703) 695-0001		14b. DATE SIGNED May 23, 1991		15a. TELEPHONE NUMBER (Include Area Code) (703) 746-0932	
				15b. DATE SIGNED May 29, 1991	

CLEARANCE ACTION

16. APPROVED YES NO		17a. SIGNATURE OF RECOMMENDING OFFICIAL IN PROMULGATING/SPONSORING AGENCY (For exceptions only)		17b. DATE SIGNED	
		18a. SIGNATURE OF CLEARANCE OFFICIAL (INFORMATION RESOURCES MANAGEMENT SERVICE/GSA)		18b. DATE SIGNED	

19. FORM NUMBER ASSIGNED		20. EDITION DATE		21a. FOLLOWING EXCEPTION APPROVAL STATEMENT MUST APPEAR ON EXCEPTED FORM: EXCEPTION TO APPROVED BY GSA/IRMS		21b. SEND THREE COPIES OF PRINTED EXCEPTION TO: GENERAL SERVICES ADMIN. KMAO WASHINGTON, DC 20405	
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FIGURE 3-1b

► STOCK EVALUATION (Complete for old stock of form revised on this request.)

EXISTING STOCK

(Obtain this information from GSA's Office of Federal Supply and Services (FSS) (472-2018) and evaluate against importance of revision in blocks 28-31b and 46. Note that units are EA (Each), HD (Hundred), BX (Box), and PG (Package)

22. QUANTITY (OF UNITS) ON HAND AND DUE	23. MONTHLY DEMAND RATE	24. MONTHS OF STOCK (22 ÷ 23)	25. COST PER UNIT	26. ESTIMATED VALUE OF STOCK (22 x 25) \$	27. DATE INFORMATION OBTAINED
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► STOCK DISPOSITION (Complete for revised or canceled forms.)

28. FORM NUMBER	29. EDITION DATE	30. NATIONAL STOCK NUMBER OF FORM TO BE PHASED OUT OR MADE OBSOLETE	31. DISPOSITION ACTION	
			a. CODE*	b. EFFECTIVE DATE

*DISPOSITION CODES

- | | | |
|---|--|---|
| 1 - Discontinue form immediately and dispose of existing stock. | 3 - Continue to issue existing stocks but do not reprint. | 5 - Order new edition immediately; dispose of existing forms upon receipt of revised item |
| 2 - Discontinue form on date indicated and dispose of stock at that time. | 4 - Deplete existing forms before issuing revised or modified edition. | 6 - Other (Explain) _____ |

► PROCUREMENT AND STOCKING OF NEW OR REVISED FORM

32. MANDATORY USE DATE	33. NATIONAL STOCK NUMBER (if assigned)	34. UNIT OF ISSUE	35. ESTIMATED GOVT-WIDE USAGE (No. forms)	
			a. FIRST YEAR	b. SUCCEEDING YEARS

36. USAGE TYPE (X one)	37. STOCKING INSTRUCTION (X applicable)		
<input type="checkbox"/> CONSTANT <input type="checkbox"/> VARIABLE (Specify in item 46.)	<input type="checkbox"/> STOCK IN GSA SUPPLY DISTRIBUTION FACILITIES <input type="checkbox"/> STOCK IN GSA CUSTOMER SUPPLY CENTERS <input type="checkbox"/> FOR SALE TO THE PUBLIC BY SUPERINTENDENT OF DOCUMENTS	<input type="checkbox"/> NO COST DISTRIBUTION (Give address in item 46) <input type="checkbox"/> ACCOUNTABLE ITEM, RECORD ALL ISSUES OR SALES <input type="checkbox"/> OTHER (Explain in item 46)	<input type="checkbox"/> LOCAL REPRODUCTION <small>Full size illustration of form available in: (Specify)</small>

► EXCEPTION USAGE

38. MANDATORY USE DATE (if applicable) July 15, 1991	39. AGENCY FORM NUMBER(S) (if applicable) N/A	40. ESTIMATED ANNUAL USAGE (No. forms)
		a. FIRST YEAR 5000
		b. SUCCEEDING YEARS 7500

► ATTACHMENT AND DESCRIPTION (X as applicable)

41. PRINTING SPECIFICATIONS:	42. ARTWORK AND GUIDES ATTACHED
<input type="checkbox"/> SF 1 (Pad or Cut Sheet) <input type="checkbox"/> SF 1C (Unit Set) <input type="checkbox"/> GPO 1026a (Marginally Punched)	<input type="checkbox"/> PENCIL OR OTHER DRAFT <input type="checkbox"/> CAMERA COPY <input type="checkbox"/> OTHER (Specify) _____
<input type="checkbox"/> GPO 2511 (Any construction - only for established GPO Printing Program) <input type="checkbox"/> OTHER (Specify) _____	<input type="checkbox"/> DUMMY <input type="checkbox"/> SAMPLE

► PROOFS

43. NUMBER OR PROOFS (X one)	44. NUMBER OF DAYS PROOFS WILL BE HELD	45. SEND SPECIFIED NUMBER OF PRINTED FORM SAMPLES TO:	
<input type="checkbox"/> NONE (Camera copy furnished) <input type="checkbox"/> 5		a. 10	General Services Administration (KMAO) Washington, D.C. 20405
		b.	
		c.	

46. ADDITIONAL REMARKS:

L

E

TABLE 1

INSTRUCTIONS FOR COMPLETING SF 152, "REQUEST FOR CLEARANCE OR CANCELLATION OF A STANDARD OR OPTIONAL FORM OR EXCEPTION"

Instructions for completing the SF 152 are on the front of the form. The required supporting documentation for a new or revised SF or OF or exception thereto is defined in the SF 152 instructions and should accompany the completed form.

To ensure expeditious processing of requests to create, revise or grant an exception to a SF or OF, the SF 152 should be completed correctly. Incomplete or inaccurate submissions delay the approval process.

Some common problems that are encountered in the review of submitted SF 152s are explained below.

- Block 1, Requesting Department or Agency, is "Department of Defense."
- Block 2, Requesting Bureau or Office, is the name or organizational symbol of the DoD Component or OSD Office submitting the SF 152. For example, enter "Department of the Army."
- Blocks 1 through 14b, blocks 32 through 37, and blocks 41 through 46 should be completed for requests for new SFs or OFs.
- Blocks 1 through 14b, blocks 22 through 37, and blocks 41 through 46 should be completed for requests for revised SFs or OFs.
- Blocks 1 through 14b, blocks 38 through 42, and block 46 should be completed for requests for exceptions to SFs or OFs.
- Blocks 1 through 14b and blocks 22 through 31 should be completed for requests to cancel SFs or OFs.
- Blocks 15 through 15b are completed by the DIOR, WHS.

(6) Necessary supporting documentation. The supporting statement shall describe the situation that makes the creation, revision, or cancellation of the form, or deviation from the existing form necessary. The DIOR, WHS, shall prepare and submit three copies of the Clearance Request Package to the GSA.

2. SF/OF Request Procedures. A flow chart of the approval process for the creation or revision of an SF or an OF sponsored by the DoD is given at Figure 3-2.

a. The request to create or revise an SF or an OF shall be prepared by the DoD promulgating agency and submitted to its FMO in accordance with the component procedures.

b. The promulgating agency FMO shall review the request to determine if there is a valid need for the form and to ensure that the SF 152 and the supporting documentation are complete and correct; i.e., the request is in compliance with applicable regulations as listed in Chapter 2 of this Manual, the request package has been properly coordinated, and design guidelines have been followed.

(1) If the request is not valid, or is not complete or correct, the FMO shall return the request to the designated project officer for appropriate action.

(2) If the forms request package is correct and complete, the FMO shall initial the bottom right corner of Block 14 and forward the forms request package to the DIOR, WHS.

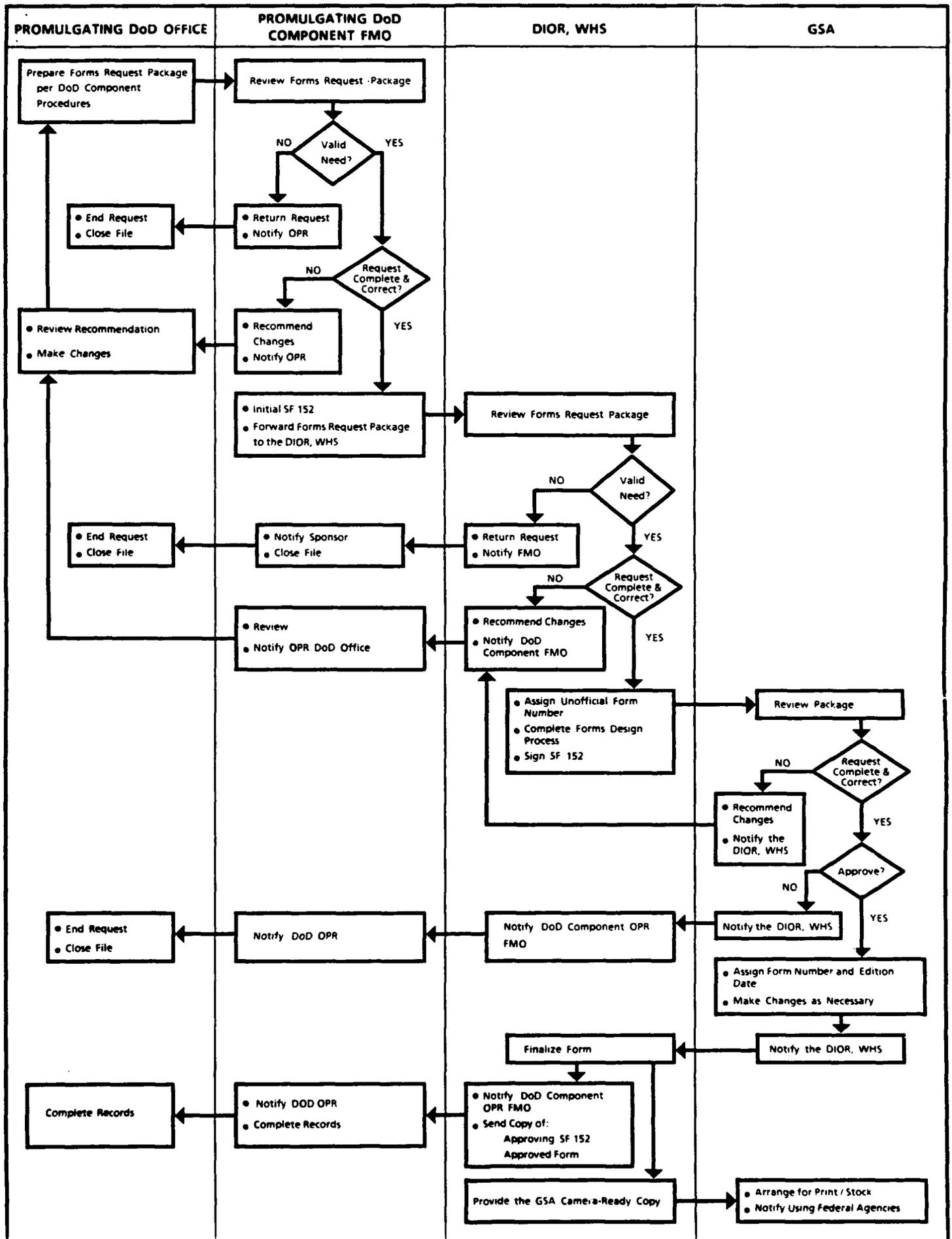
c. The DIOR, WHS, shall review the forms request package to validate that a published and updated prescribing directive establishes a requirement for and prescribes the mandatory use of the form, ensuring that the SF 152 and the supporting documentation are complete and correct.

(1) If the request is not valid, is incomplete or incorrect, the DIOR, WHS, shall return the request to the sponsoring FMO for appropriate action.

(2) If the package is complete and accurate, an unofficial form number and date shall be assigned to the form, and the design of the form shall be accomplished. See Chapter 4 of this Manual for details on the form design process.

(3) If the package is validated, the draft form shall be finalized; the SF 152 signed in block 15 by the DoD Standard and Optional Forms Liaison Representative, DIOR, WHS, and the forms request package forwarded to the GSA.

**FIGURE 3-2
APPROVAL PROCESS FOR DoD SPONSORED SFs AND OFs**



d. The GSA reviews and analyzes the forms request package and coordinates it with other Federal Agencies, as necessary. After completing its review, the GSA notifies the DIOR, WHS, of its determination. The DIOR, WHS, shall notify the promulgating agency of the GSA determination.

(1) If the form is approved, the DIOR, WHS, shall finalize the design of the form, with the GSA-assigned SF or OF number, edition date, and any other changes made to the draft form, and shall forward:

(a) A copy of the approving SF 152 and the official form to the DoD promulgating agency FMO.

(b) A camera-ready copy of the official form to the GSA for printing and distribution through FSS Supply Depots, or to be used for local reproduction, when authorized.

(2) If the form is not approved, the DIOR, WHS, shall notify the DoD promulgating agency FMO.

B. DD Forms. Before a request is prepared to create a DD Form, the DoD Component OPR or action officer and/or the DoD Component FMO shall research the inventory of existing forms to verify that an existing form cannot meet the requirement. The OPR of the form shall submit requests to establish or revise their DD Forms to their DoD Component FMO in accordance with their component procedures and directives. The DoD Component FMO shall submit a forms request package to the DIOR, WHS, for review, design, and approval.

1. DD Forms Request Package. The forms request package shall include:

a. A draft of the proposed new or revised form.

b. A copy of printing specifications, if mandatory.

(1) Most contract printers are able to print in any construction that meets the user requirements. If an OPR of a DD Form requires special printing or construction, the DD Form must be printed according to these mandatory printing specifications or an exception must be requested and processed through proper channels. The OPR should consult with their DoD Component printing procurement specialists to develop the printing specifications.

(2) If required, the mandatory printing specifications shall be included in the request package. Mandatory printing specifications for DD Forms shall be specified on either the DD Form 843, "Requisition for Printing and Binding Service," DD Form 844, "Requisition for Local Duplicating

Service," SF 1, SF 1-C, or GPO Form 1026a.

c. A copy of the prescribing DoD issuance.

d. A DD Form 67, "Form Processing Action Request," completed through item 18. A sample of a completed DD Form 67 is at Figure 3-3. Detailed instructions for completing DD Form 67 are provided in Table 2.

2. DD Forms Request Procedures. A flow chart of the approval process is given at Figure 3-4.

a. The OPR shall submit the form request to the sponsoring DoD Component FMO in accordance with the Component procedures.

b. The DoD Component FMO shall review the request to determine if there is a valid need for the form and to ensure that the DD Form 67 and the supporting documentation are complete and correct; i.e., the request is in compliance with applicable regulations as listed in Chapter 2 of this Manual, the request package has been properly coordinated, and design guidelines have been followed.

(1) If the request is not valid, or is not complete or correct, it shall be returned by the DoD Component FMO to the OPR for appropriate action.

(2) If the DoD Component FMO determines that the forms request package is correct and complete, the FMO shall sign and date the DD Form 67 in item 18 and forward the forms request package to the DIOR, WHS.

c. The DIOR, WHS, reviews the forms request package to validate the need for the form and the appropriateness of both the form and the implementing directive, and to ensure that the DD Form 67 and the supporting documentation are complete and correct.

(1) If the request cannot be validated by a review of the supporting documentation, or is not complete or correct, it shall be returned to the FMO for the DoD Component OPR to take appropriate action.

(2) If the package is complete and accurate, a draft form number and date is assigned, and the design of the form is accomplished. See Chapter 4 of this Manual for details on the form design process.

(3) Upon approval of a new or revised DD Form, the DIOR, WHS, shall notify the sponsor and using DoD Component FMOs, and provide each a copy of the approving DD Form 67, a camera-

ready copy of the approved DD Form, and the printing specifications, (if mandatory specifications.) If there are no mandatory printing specifications, and the form is approved for electronic generation, an electronic version of the form shall be provided to the DoD Component OPR FMO.

d. Each of the DoD Components is responsible for the printing and distribution of the form within his or her DoD Component.

C. DoD Component Forms. Before a request is prepared to create a DoD Component Form, the OPR or action officer and/or the DoD Component FMO shall research the inventory of existing forms to verify that an existing form cannot meet the requirement. To create or revise a DoD Component Form, the OPR of the form shall submit a completed DD Form 67 together with other supporting documentation to their DoD Component FMO in accordance with their component procedures and Directives. DoD Component FMOs are listed in DoD 7750.7-L (reference (e))

FIGURE 3-3

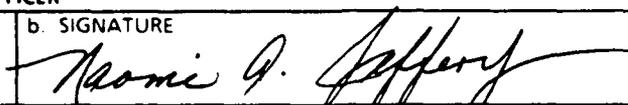
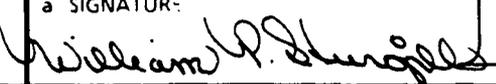
FORM PROCESSING ACTION REQUEST (Read Instructions in DoD 7750.7-M before completing this form)		1. TYPE SUBMISSION (X one) <input type="checkbox"/> NEW <input type="checkbox"/> OTHER (Specify)		2. FORM DESIGNATION AND NUMBER (Leave blank if a new form) DD Form 6666		3. DATE OF FORM (Complete only when cancelling a form)													
		<input checked="" type="checkbox"/> REVISION <input type="checkbox"/> CANCELLATION																	
4. FROM (DoD Component OR Organization and complete mailing address) HQ AFMPC/DPMR3 Randolph AFB TX 78100-5000		5. THRU (DoD Component FMO Organization and complete mailing address) SAF/AAIPSF Bldg 5681 Bolling AFB DC 20332-6468		6. TO (Organization and complete mailing address) WHS/DIOR/ICD 1215 Jefferson Davis Hwy, Suite 1204 Arlington, VA 22202-4302															
7. FORM TITLE Personnel Records Annual Report Worksheet				8. SUPERSEDED FORMS (If applicable)															
9. PRESCRIBING DOCUMENT NUMBER (Attach copy) DoD 1348-33.M		10. FUNCTIONAL CODE (Leave blank if a new form) 1348		11. TYPE OF FORM (X one) <input type="checkbox"/> PRESCRIBED <input checked="" type="checkbox"/> ADOPTED		<table border="1"> <tr> <th>a FORM NUMBER</th> <th>b EDITION DATE</th> <th colspan="2">c DISPOSITION (X one)</th> </tr> <tr> <td>DD Form 6666</td> <td>DEC 96</td> <td>(1) USE</td> <td>(2) DO NOT USE</td> </tr> <tr> <td></td> <td></td> <td></td> <td>X</td> </tr> </table>		a FORM NUMBER	b EDITION DATE	c DISPOSITION (X one)		DD Form 6666	DEC 96	(1) USE	(2) DO NOT USE				X
a FORM NUMBER	b EDITION DATE	c DISPOSITION (X one)																	
DD Form 6666	DEC 96	(1) USE	(2) DO NOT USE																
			X																
12. DESIGN CONSIDERATIONS																			
a SUGGESTED SIZE (Width) (Length) 8 1/2" 11"		b SPECIAL CONSTRUCTION REQUIRED (X one) <input checked="" type="checkbox"/> YES (If Yes, attach printing specifications) <input type="checkbox"/> NO		c IS FORM CLASSIFIED? (X as applicable) <input type="checkbox"/> WHEN BLANK? <input type="checkbox"/> NO <input checked="" type="checkbox"/> WHEN FILLED IN?		d IS FORM CONTROLLED? (X as applicable) <input checked="" type="checkbox"/> SAFEGUARD <input type="checkbox"/> NO <input type="checkbox"/> SERIALLY NUMBERED													
e IS FORM AUTHORIZED FOR ELECTRONIC GENERATION? (X one) <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO WITH STIPULATIONS																			
13. PURPOSE AND DESCRIPTION OF USE (Attach additional sheet, if necessary) This form is used by the Air Force Military Personnel Center to collect attendance, travel, training, health insurance, and housing information used in compiling the annual report of military personnel records.																			
																			
14. INTERNAL COORDINATION AND CONCURRENCE																			
(1) COORDINATOR				(2) APPLICABLE (Yes or No)		(3) REMARKS (Enter Reports Control Numbers and expiration dates, if applicable)													
	NAME	INITIALS	OFFICE SYMBOL	TELEPHONE NUMBER (Include DSN Area Code)															
a PRIVACY ACT	John Doe	jd	SAF/AAPAS	(703) 697-2501	Yes	F035 AF MPO													
b POSTAL	Mr. R. Smith		SAF/APMAIL	(301) 325-8095	No														
c DATA ELEMENTS	Mary Anne Jones		SAF/AADE	(703) 694-9898	Yes														
d REPORTS																			
INTERAGENCY	Pearl Pearce		SAF/AARPTS	(703) 746-9320	Yes	0003-GSA-AN, 910630													
RCS	William Sturgill		SAF/AARCS	(703) 746-9707	Yes	DA&M(A) 2236, 910731													
OMB	Ruth Saunders		SAF/AAOMB	(703) 746-0964	Yes	0407-8222, 910619													
15. EXTERNAL COORDINATION AND CONCURRENCE (Not required for SD, DoD Component, or Command forms)																			
a DOD COMPONENT		b COORDINATOR			c ESTIMATED ANNUAL USAGE		d IF REVISION, QTY EXISTING FORMS ON HAND												
	NAME	INITIALS	OFFICE SYMBOL	TELEPHONE NUMBER (Include DSN Area Code)															
Army	LTC Lawrence		ASPQ-PMP	(202) 325-4321	50,000	5000													
Navy	Ms. Meg Harrison		Code 191C7	(703) 695-1234	10,000	1200													
Marine Corps	Mr. Mitchell		Code 9836	(704) 694-5432	10,000	2000													
Air Force	SMSGT Ella Rascoe		AF/DPPMR	AV 987-6543	25,000	7000													
CERTIFICATION OF DOD COMPONENT OPR AND/OR ACTION OFFICER, APPROVING OFFICIAL, AND FMO I hereby certify that all of the above coordinations have been completed as indicated.																			
16. DOD COMPONENT OPR AND/OR ACTION OFFICER																			
a TYPED NAME		b SIGNATURE			c TELEPHONE NO														
Naomi A. Jeffery					(905) 697-1204														
17. DOD COMPONENT APPROVING OFFICIAL				18. DOD COMPONENT AND/OR COMMAND FORMS MANAGEMENT OFFICER															
a SIGNATURE		b DATE SIGNED		a SIGNATURE		b DATE SIGNED													
		7/27/91				July 30, 1991													
19. APPROVING FORMS MANAGEMENT OFFICER																			
a. TYPED NAME		b. SIGNATURE			c. DATE SIGNED														

TABLE 2

INSTRUCTIONS FOR COMPLETING DD FORM 67,

"FORM PROCESSING ACTION REQUEST"

General. These instructions detail the procedures for obtaining approval for the creation, revision, or cancellation of a Department of Defense (DD), Secretary of Defense (SD), or DoD Component or Command Form. Use of the DD Form 67 to document forms processing procedures is mandatory by all DoD Agencies. The back of the DD Form 67 shall be overprinted to accommodate the respective DoD Component or Command form printing specifications and other Component-specific requirements.

Completion Instructions:

Item 1. TYPE SUBMISSION (X one). Place an "X" in the appropriate box to indicate whether the request is for the creation, revision, or cancellation of a form. Use the "OTHER" box to indicate whether the request is for a "Test," "One-Time," or "Electronically-Generated" form.

Item 2. FORM DESIGNATION AND NUMBER (Leave blank if a new form). For a revised or obsolete form, enter the prefix "DD," "SD," etc., and the number of the existing form. Leave blank if the request is for a new form.

Item 3. DATE OF FORM (Complete only when cancelling a form); otherwise, leave blank. The Forms Management Officer (FMO) completes this item for all requests for new or revised forms.

Item 4. FROM (DoD Component OPR Organization and complete mailing address). Enter the complete mailing address, including the nine-digit ZIP Code, of the DoD Component Office of Primary Responsibility (OPR). Authorized abbreviations may be used.

Item 5. THRU (DoD Component FMO Organization and complete mailing address). If the request is for a DD form, enter the complete mailing address, including the nine-digit zip code, of the DoD Component FMO. Authorized abbreviations may be used.

Item 6. TO (Organization and complete mailing address). If the request is for a DD or SD form, enter, "1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302." If the request is for other than a DD or SD form, enter the organization and address of the approving DoD Component FMO.

Item 7. FORM TITLE. Enter the title of the form exactly as it should appear or appears on the form. Do not use an abbreviation unless the abbreviation must appear in the title on the form. Do

not use the word, "Form" in the title of the form.

Item 8. SUPERSEDED FORMS (If applicable). Enter the number and edition date of all existing forms that will be replaced by the proposed form. If the proposed form is a revision or consolidation of forms, indicate whether existing stock may be used. If the request is for a new or cancelled form, enter "N/A."

Item 9. PRESCRIBING DOCUMENT NUMBER (Attach copy). Enter the number, and attach a copy (either draft in final coordination process or published copy) of the document(s) that prescribe(s) the use of the proposed form. If the proposed form is prescribed for use by more than one DoD Component, enter the Directive number and attach a copy of each Component's prescribing Directive.

Item 10. FUNCTIONAL CODE (Leave blank if a new form). For a revised or obsolete form, enter the functional code listed on the existing DD Form 67. (The DIOR, WHS, will assign a four-digit functional code for each new form from the list of functional codes in DoD 7750.7-L, "Listing of Approved Department of Defense (DD) Forms" (reference e)).

Item 11. TYPE OF FORM (X one). Place an "X" in the appropriate box to indicate whether the form is "Prescribed" or "Adopted." An "X" in the "Prescribed" box indicates the form is prescribed for mandatory use by all DoD Components to whom the form applies. Normally, such a form is initiated by a DoD Component on a voluntary basis, in conjunction with other (one or more) DoD Components to replace an existing Military Department or Defense Agency form. Its use is prescribed by a prescribing directive for each of the respective using agencies.

Item 12. DESIGN CONSIDERATIONS:

a. SUGGESTED SIZE. Enter "8 1/2 x 11 inches" for standard size forms. The General Services Administration requires that forms should not be larger than 8 1/2 x 11 inches, unless justified. Provide written justification with the DD Form 67 for those forms larger than 8 1/2 x 11 inches. Coordinate each request for a postcard, self-mailer, etc. with the appropriate Component Postal Policy Official before sending it to the FMO.

b. SPECIAL CONSTRUCTION REQUIRED (X one). The construction of each form is generally left to the discretion of the DoD Component OPR and/or Action Officer. If "YES" is checked, attach a copy of the mandatory printing specifications so all Agencies will print the form exactly as the specifications stipulate. A DD Form 843 or 844, SF 1 or SF 1-C, or GPO Form 1026a may be used instead of "text-style" written printing

specifications. Any printing or construction deviation requires a written request for a waiver (through the DIOR, WHS,) to the DoD Component OPR and/or Project Officer to obtain approval to deviate from the mandatory printing specifications.

c. IS FORM CLASSIFIED? (X as applicable). Check the appropriate box. If "WHEN BLANK" is checked, it indicates the requester and the user of the form are responsible for ensuring the form contains the required markings, and the security guidelines of DoD 5200.1-R (reference (w)) are complied with during the life cycle of the form. If neither box is checked, it indicates the form is neither classified nor is there a need for security controls.

d. IS FORM CONTROLLED? (X as applicable). Check the applicable box(es). A check in either of these boxes indicates that the unauthorized use of the form could jeopardize DoD security or result in fraudulent financial gain or claims against the Government. Most controlled forms are printed with serial numbers so each form can be accounted for during printing, shipping, issuing, etc. Prenumbering a form does not always make it a controlled form; the form may be numbered to control an item; such as, baggage, dry cleaning, etc.

e. IS FORM AUTHORIZED FOR ELECTRONIC GENERATION? (X one). Check the applicable box:

YES: A check in "YES" indicates that the OPR of the form has approved the form for electronic generation. The electronic version of the form must replicate exactly the contents (wording), format (layout), and sequence (arrangement) of the existing approved form. Any alteration in the content, format, or sequencing must be approved by the OPR.

NO: A check in the "NO" box indicates the OPR of the form has not approved the form for electronic generation. The requesting office shall submit a formal request to the DIOR, WHS, for subsequent forwarding to the OPR for evaluation. The procedures for obtaining an exception to electronically generate a DD or DoD Component Form are established by the DoD Component OPR and/or Approving Official. DoD 7750.7-L (reference (e)) contains a listing of all FMOs.

WITH STIPULATIONS: A check in "WITH STIPULATIONS" indicates that the OPR of the form will consider approving the form for electronic generation with specific stipulations or conditions. Procedures to obtain approval to electronically generate this form are the same as for those forms having "NO" checked in this column. Respective DoD Components procedures apply when an exception is required for a DoD Component form.

Item 13. PURPOSE AND DESCRIPTION OF USE (Attach additional

sheet, if necessary). Refer to item 1 and address the need and manner in which the form is to be used to accomplish the purposes identified in the prescribing document. If the request is to cancel a form, state the reason for the cancellation. If the action is for a new or revised form, the description should be of enough detail to inform the reader whether he or she has a use or need for the form. The reader should be able to make this decision without ever seeing the form, based on the description in this block. Make sure the description answers the "who, what, why, where, when, etc.," of the form.

Item 14. INTERNAL COORDINATION AND CONCURRENCE. Within the originating Component, obtain the coordination of the Component Program Manager for each of the programs listed. The Program Manager's name, initials, office symbol, and telephone number should be entered for each program condition met by the circumstances of the form. If coordination is obtained telephonically, the OPR must enter his or her own initials to certify that the coordination was accomplished.

All new and revised forms require completed coordination in items 14a, c, and d. Coordination is required in item 14b if the form is to be used as any type mailer. The Component Program Manager should enter "NO" in item 14(2) if the program area is clearly not applicable to the specific form.

a. PRIVACY ACT. If an individual's social security number, home address, home phone number, or other personal information is requested on the form, the procedures in DoD 5400.11-R (reference (p)) apply. Complete item 14a(1) with the DoD Component Privacy Act Officer's name, initials, office symbol, and telephone number. State whether the Privacy Act is applicable by entering either "YES" or "NO" in Item 14a(2), and enter the Systems of Records Number obtained from the Privacy Act Officer in item 14a(3).

b. POSTAL. If the form is used as any type mailer, DoD 4525.8-M (reference (r)) applies. Complete item 14b(1) with the DoD Component Postal official's name, initials, office symbol, and telephone number. State "YES" in item 14b(2), and enter the type mailer; e.g., Business Reply Mail, postcard, etc. in item 14b(3).

c. DATA ELEMENTS. All requests for new or revised forms require coordination by the DoD Component Data Elements Officer. DoD Directive 5000.11 (reference (s)) applies. Complete item 14c(1) with the Data Elements Officer's name, initials, office symbol, and telephone number. Enter "Yes" in item 14c(2), and leave item 14c(3) blank.

d. REPORTS. If the form is used to collect information on an Agency basis for use in determining policy;

planning, controlling, or evaluating operations and performance; making administrative decisions or preparing other reports, DoD Directive 7750.5 (reference (e)) applies. Complete item 14d(1) with the DoD Component Information Management Control Officer's (IMCO) name, initials, office symbol, and telephone number. DoD 7750.5-L (reference (n)) contains a listing of all IMCOs.

Enter "YES" or "NO" in item 14d(2) for each of the following subsections:

(1) INTERAGENCY. If the form provides for the DoD to collect information from other Federal Agencies, submit a Standard Form 360, "Request to Approve an Interagency Reporting Requirement," and an OF 101, "Summary Worksheet for Estimating Reporting Costs," to obtain General Service Administration (GSA) approval; attach a justification statement (signed by the official who requested the report) describing the need for the report; and submit the package to the DIOR, WHS, for initial review and coordination with the GSA. If a previous approval has been obtained, use pencil to enter the appropriate RCS control number and expiration date from the previous approval notice in item 14d(3). If not previously approved, leave blank.

(2) RCS. If the form provides for the OSD to collect information from DoD Components, submit a request for a report control symbol (RCS) through the DoD Component IMCO to the DIOR, WHS.

(3) OMB. If the form provides for the DoD to collect information from the public, including contractors, submit a request through the DoD Component IMCO to the DIOR, WHS. If a previous approval has been obtained, use pencil to enter the appropriate Office of Management and Budget (OMB) control number and expiration date from the OMB Approval Notice in item 14d(3). If not previously approved, leave blank.

Item 15. EXTERNAL COORDINATION AND CONCURRENCE (Not required for SD, DoD Component, or Command forms). Obtain the coordination of each DoD Component expected to use the proposed form or currently using the existing form. The respective project officer for each DoD Component should complete items 15a and b, reflecting the name of their DoD Component, full name, initials, office symbol, and telephone number. The respective DoD Component FMO can provide assistance in estimating annual usage for item 15c, and can provide the quantity of existing forms stock for item 15d.

CERTIFICATION OF DOD COMPONENT OPR AND/OR ACTION OFFICER, APPROVING OFFICIAL, AND FMO. Enter signatures in items 16, 17, and 18 to certify that all of the above coordination has been completed as indicated.

Item 16. DOD COMPONENT OPR AND/OR ACTION OFFICER. Enter the typed name, signature, and telephone number of the person

responsible for coordinating the form processing request. This person is the DoD Component representative of the respective functional area who can provide technical information about the purpose and use of the form. DO NOT enter the name, etc., of the DoD Component FMO.

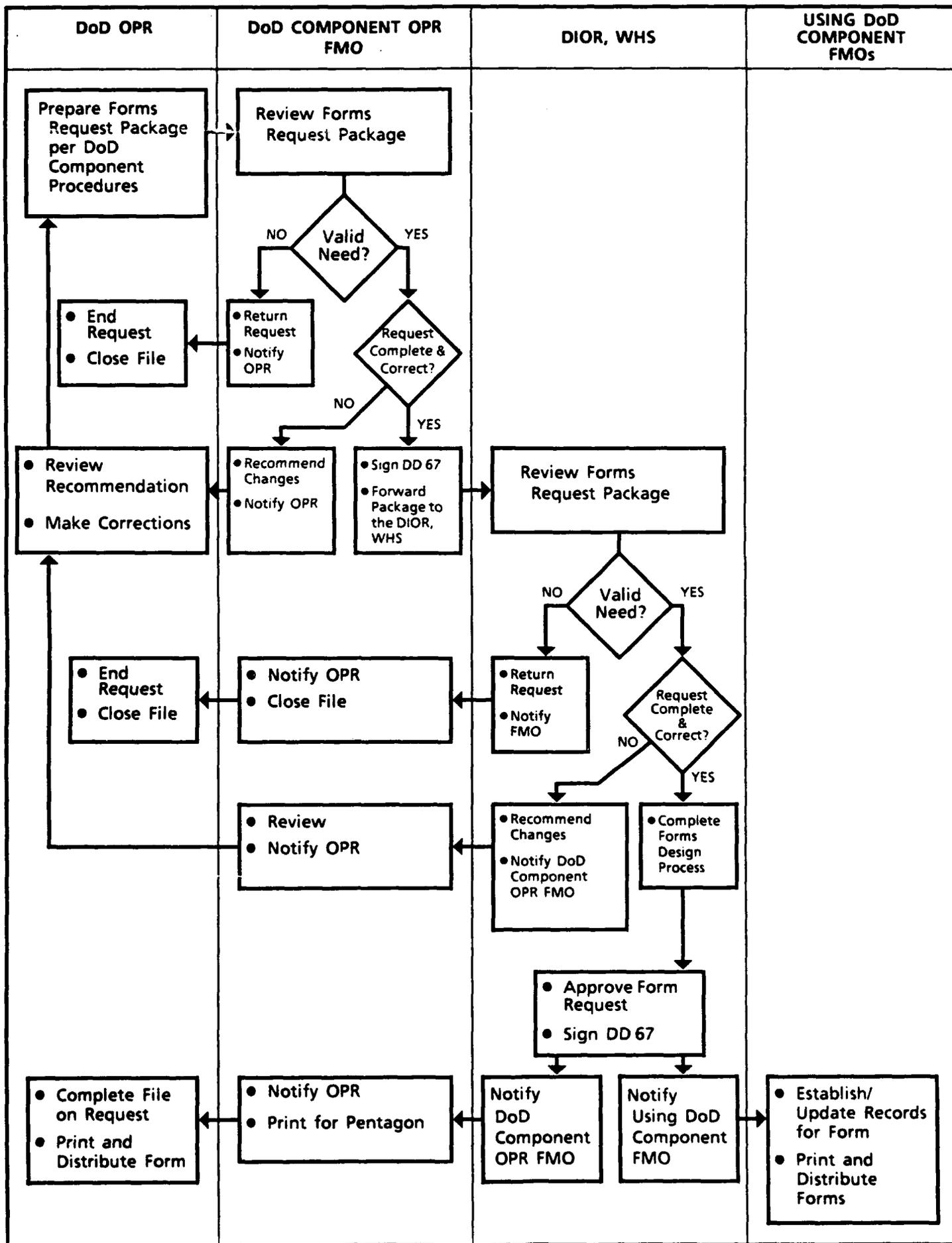
Item 17. DOD COMPONENT APPROVING OFFICIAL. Enter the signature (and date signed) of the DoD Component Approving Official. This official must be at the Division Director level or above for DD, SD, and DoD Component forms and is normally the approving official for the respective prescribing directive for the form.

Item 18. DOD COMPONENT AND/OR COMMAND FORMS MANAGEMENT OFFICER. Enter the signature (and date signed) of the DoD Component or Command FMO. This signature also certifies the FMO has reviewed the DD Form 67; and, that it is correct and complete, and he or she recommends approval by the Forms Management Officer.

Item 19. APPROVING FORMS MANAGEMENT OFFICER. Leave blank on all DD and SD Forms processing requests. For DoD Component or Command forms, the respective FMO serves as the approving authority. Enter the typed name, signature, and date of signature of the person responsible for approving the form processing request. Return all disapproved requests through the appropriate chain of command, with an accompanying memorandum or letter explaining reason(s) for the disapproval.

FIGURE 3-4

APPROVAL PROCESS FOR DD FORMS



CHAPTER 4

DESIGN OF FORMS

A. Design Guidelines. The effectiveness of a form in capturing data and distributing information is dependent on the design of the form. Forms shall be designed so they are easy to fill in, have a functional layout and a logical sequence to the information they collect, and have an overall good visual appearance. To assist in the design of forms, the guidelines in "Forms Analysis and Design" (reference (x)), have been adopted for Federal forms design, analysis, and typography. The handbook may be ordered from FSS, GSA (see Figure 4-1, "FSS - Federal Supply Catalogue Ordering Information" for information to order).

1. DoD Design Guidelines. This Manual establishes specific guidelines for the design, analysis, and typography for DoD forms. These guidelines apply to all DoD forms; i.e., DD, DoD Component, etc.

a. Form Size.

(1) Forms should be designed to be 8-1/2 x 11 inches. Use of any form larger than 8-1/2 x 11 inches must be justified, in writing, and approved for use by the DoD or respective DoD Component or Command FMO.

(2) Postcard forms must measure a minimum of 3-1/2 inches high x 5 inches wide, a maximum of 4-1/4 inches high x 6 inches wide.

b. Form Identification.

(1) Form Number. The DD or DoD Component Form number shall be displayed in the lower left corner, near the left margin, outside the border.

(a) The form designation is shown in full capital letters and indicates the scope of use for the form; i.e., DoD, DoD Component, command, or installation-wide. The form designation for forms used DoD-wide is "DD." The individual DoD Component Form designation shall be assigned by that Component and indicate the abbreviated name of the DoD Component.

(b) The form designation is followed by the form number which is assigned sequentially as new forms are created.

FIGURE 4-1

**FEDERAL SUPPLY SERVICE (FSS) -
FEDERAL SUPPLY CATALOGUE ORDERING INFORMATION**

The "Federal Supply Catalogue" published by FSS lists all SFs and OFs and provides the National Stock Number, unit of sale, and price for each form. The catalogue is available from:

General Services Administration
Centralized Mailing List Service (7CAFL)
P.O. Box 6477
Fort Worth, TX 76115

(817) 334-4040

(2) Edition Date. The edition date is shown, using all upper case letters in the lower left corner immediately following the form number. The edition date consists of the month and year that edition of the form is approved. The abbreviation of the month, in full capital letters, is displayed, followed by the two-digit representation of the year; e.g., MAR 91.

(3) Back of Form. The back of the form is indicated, using upper and lower case letters after the edition date; e.g., MAR 91 (Back).

c. Form Title. The title of the form is usually placed at the top or top left of the form, centered, inside the border. Ensure that the title is brief, specific, and meaningful, and that it eliminates any unnecessary words; e.g. form, label, etc. If the form does not have a standard margin, place the form number, title, and date in the most logical and conspicuous place.

(1) If there is no report control information to be displayed in the upper right corner, the title may be centered across the top of the form.

(2) If the form is to be filed as a visible index card, the title shall be displayed across the top of form inside or outside the border.

d. Agency Name. It is normally unnecessary to display the title of the agency or DoD Component, unless the form is to be completed by other DoD Components, Agencies, or the public. If it is necessary to display the agency or DoD Component name, the name or acronym shall be displayed either as a preface to the title of the form, or directly above or below the title of the form.

e. Acronyms. All acronyms must be spelled out the first time they are used. If space does not permit, they may be spelled out elsewhere on the form.

f. Using Illustrations or Graphics on Forms. The use of decorative or "nice to have" illustrations or graphics, including an official logo, is prohibited. The illustration or graphics design may be used only if it serves a functional purpose.

g. Supersession Notice. Supersession notices are placed in the center of the bottom of the form and shall specify whether existing stock of the replaced form may be used. If the existing stock may not be used and if the new form has a different number, the edition date and the number of the replaced form shall be included in the supersession notice. Standard supersession

notices used on DoD Forms are listed below; other supersession notices may be used to indicate unique circumstances.

(1) Previous editions are obsolete.

(2) Previous edition may be used. "May be used" means only existing stock may be used until it is exhausted. Any electronically generated forms are immediately obsolete upon approval of the revised form.

(3) Replaces (form number and edition date), which is obsolete.

(4) Replaces (form number and edition date), which may be used. (See subparagraph (2), above.)

h. Report Control Number and Expiration Date. The OMB Control Number and its expiration date must be displayed on most forms that are used to collect information from the public. The IRCN must be displayed on all forms that are used to collect information from other Federal Agencies. Forms that are used as instruments of collection for internal information must be designed with a block for entering the RCS Number.

(1) Forms that are used to collect information must be designed to display the report control symbol in the top right corner of the form, inside the border. If there is more than one report control number, the OMB Control Number and its expiration date shall be in the top right corner of the form in a separate block. The IRCN shall be displayed in a separate block immediately below the OMB block. The block for entering the RCS number shall be placed immediately below the other report control blocks.

(2) The OMB Control Number and the IRCN are considered as part of the approved form, and the actual number must be displayed as part of the official form. The RCS number is not listed on the approved form, but the block for entering the RCS number must be included. The RCS number (obtained from DD Form 67, item 14d(3)), may be overprinted by the DoD Component before the form is distributed.

(3) Agency Disclosure Notice (ADN). An ADN must be displayed on all forms which require an OMB Control Number. The notice shall be displayed across the top of the form, immediately below the Form Title and the OMB Control Number. The ADN used by the Department of Defense is as follows:

"Public reporting burden for this collection of information is estimated to average _____ hours (or minutes) per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and

completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to Department of Defense, Washington Headquarters Services, DIOR, 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302; and to OMB, Paperwork Reduction Project (XXXX-XXXX*) Washington, DC 20503. Please DO NOT RETURN your form to either of these addresses. Send your completed form to (address to be provided by the OPR of the form).

* Enter 8-digit "OMB Control Number"

i. Privacy Act Statement (PAS). If a Privacy Act Statement is required, it shall be displayed in one of the following ways:

(1) On the face of the form, preferably immediately below the title.

(2) On the back of the form, with the notation, "Please read the Privacy Act Statement on back before completing this form.," located immediately below the title of the form.

(3) Attached to the form as a tear-off sheet, with the following notation immediately below the title of the form, "This form is subject to the Privacy Act of 1974, see separate PAS."

(4) On a separate sheet to be distributed with the appropriate form(s). A PAS displayed on a separate sheet is normally a lengthy or "blanket" PAS that is applicable to one or more forms used for the same purpose.

(5) Issued as a separate form with the following notation below the title of the form, "This form is subject to the Privacy Act of 1974. Please obtain and read (enter respective agency form number) before completing this form." Prior to using the PAS as a separate form, the OPR must justify the requirement and obtain respective Agency Privacy Officer approval.

j. Page Identification. If the form contains three or more pages, the page designation shall be placed in the lower right corner of the form.

(1) If the form is one page and the back of the form is blank, no page number is displayed.

(2) If the form is one page, front and back, no page number is displayed on the front; FORM NUMBER (Edition Date) and "(Back)" are displayed on the back of the form.

k. Instructions. Placement of instructions should be consistent on the entire form.

(1) If the instructions are brief, they can be included in individual captioned boxes, in parentheses after block title.

(2) If the instructions are lengthy, they can be divided into columns and placed where applicable on the form; or, when justified, they can be issued on a separate page. Very lengthy and detailed instructions should be included in the prescribing directive, manual, or regulation with appropriate cross references made on the form.

1. Form Lay-out.

(1) Box Design. With the exception of certificates, tags, and labels, the entire body of a form shall be enclosed in a lined border. Unless the form has special construction or printing specifications, such as hole-punching, use 3 picas or 5/10th (1/s inch) inches for the left and right margins; and 2 picas (or 2/6th inches) for the top margin and 3 picas (or 3/6th inches) for the bottom margin. Use 6 picas (or 1 inch) when allowing space for hole punching. The body of the form shall be partitioned, using a separate box for each captioned item of information or data.

(2) Caption in Box. The title of each box shall be included within the boundaries of the box. Upper left captions shall be used.

(3) Flow of Boxes. The captioned boxes shall be arranged on the form in the same sequence that the respondent is expected to complete the form. The sequence shall proceed from left to right and top to bottom of the form.

(4) Numbering of Boxes. Boxes shall be numbered in the sequence in which they are to be completed. Box numbers shall be in the upper left corner of the box immediately preceding the box caption.

(5) Typewriter Compatibility. Unless the form contains no fill-in areas, the form shall be designed with typewriter alignment.

2. DoD Component Design Guidelines. The DoD Components may supplement the "Forms Analysis and Design" handbook guidelines, and Chapter 4 of this Manual for the design, analysis, and typography of their DoD Component Forms. All supplements require the DIOR, WHS, approval.

B. The Design Process. The design of a form must meet the needs of the DoD Component OPR of the form and conform to the GSA and the DIOR, WHS, design guidelines. To ensure that these requirements are met, the DoD Component OPR and FMO must work with the DIOR, WHS, throughout the design process.

1. SFs and OFs.

a. The DoD participates in the design of the SF or OF that it promulgates. The design of a SF or OF shall conform to Federal forms design guidelines described in the "Forms Analysis and Design" Handbook (reference (x)).

b. The design of an SF or OF is often a collaborative effort by the DoD sponsor and other Federal users. The initial draft shall be submitted to the DIOR, WHS, together with a completed SF 152, "Request for Clearance or Cancellation of a Standard or Optional Form or Exception," and supporting documentation. The GSA, as defined in FIRMR 41 CFR 201-9.202-1 (reference (h)), has final approval authority for the form.

c. The DIOR, WHS, designs all DD and DoD sponsored SF and OF forms. A flow chart of the forms design process is at Figure 4-2.

d. The OPR of the form works with the Component FMO to produce a draft of the proposed new or revised form. The draft can be anything from a pencil sketch of the layout to a pen and ink annotation on an existing form.

e. The initial draft shall be submitted through the DoD Component FMO to the DIOR, WHS.

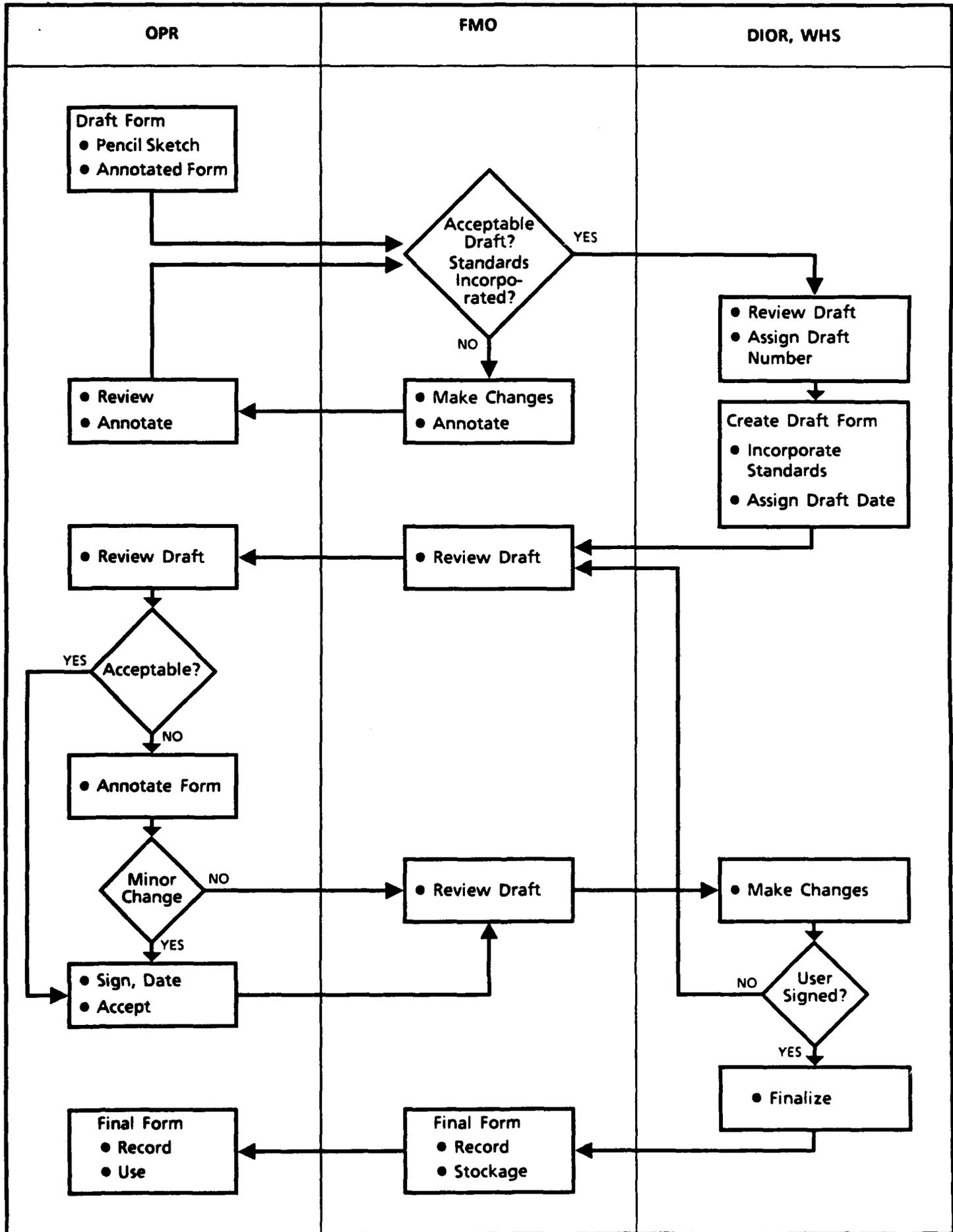
f. The DIOR, WHS, shall review the draft form and make changes to incorporate design standards and facilitate the ease of use of the form.

g. The DIOR, WHS, shall produce a draft version of the form, using its computer graphics design system. The form shall be labeled in the lower left corner as a draft with the date of the draft entered next to the form number. The draft date, that changes with each iteration of the draft form, facilitates the tracking of the form throughout the design process.

h. The DIOR, WHS, shall return the draft form, through the DoD Component FMO, to the DoD Component OPR for review and acceptance.

(1) If the DoD Component OPR makes substantial changes to the draft, the OPR shall annotate the form in red and return the form through the DoD Component FMO to the DIOR, WHS.

**FIGURE 4-2
DD FORMS DESIGN PROCESS**



After changes are made, a new draft date is assigned and the form is forwarded to the OPR for acceptance. This process continues until the OPR accepts the design of the form.

(2) If only minor changes are required on the draft form, the OPR may accept the form with the changes noted. The OPR should mark up the form to reflect the desired changes, then write "Artwork Accepted as Annotated," sign, and date the back of each page of the draft form. This procedure precludes the necessity of creating additional draft versions.

(3) If the DoD Component OPR accepts the draft with no changes, the OPR writes "Artwork Accepted," and signs and dates the back of each page of the draft form. The signature of the DoD Component FMO will be accepted instead of the OPR.

(4) After the OPR accepts the artwork, the DIOR, WHS, shall finalize the draft and forward it to the GSA as part of the forms request package.

i. The GSA coordinates the form action, as appropriate, with the OMB. If the form is approved, the GSA signs the SF 152; assigns a form number and edition date; requires design changes, if necessary; and returns the approval package to the DIOR, WHS.

j. The DIOR, WHS, shall notify the DoD sponsor of the GSA determination. Camera-ready copies of approved forms shall be sent to the GSA for printing and stocking in the FSS Supply Depots.

2. DD Forms

a. The DIOR, WHS, designs all DD Forms.

b. The draft shall be submitted by the OPR, together with a completed DD Form 67 and a copy of the prescribing document, through the DoD Component FMO to the DIOR, WHS, for review, editing, design, and approval.

c. The OPR of the form works with their FMO to produce a draft of the proposed new or revised form. The draft may be a pencil sketch of the form's layout, a pen and ink annotation on an existing form, etc.

d. The initial draft shall be submitted through the DoD Component FMO to the DIOR, WHS.

e. The DIOR, WHS, shall review the draft form and make changes to incorporate design standards and facilitate the ease of use of the form.

f. The DIOR, WHS, shall produce a draft version of the form, using its computer graphics design system. The form shall be labeled in the lower left corner as a draft with the date of the draft entered next to the form number. The draft date, which changes with each iteration of the draft form, facilitates the tracking of the form throughout the design process.

g. The DIOR, WHS, shall return the draft form, through the DoD Component FMO, to the DoD Component OPR for review and acceptance.

(1) If the DoD Component OPR makes substantial changes to the draft, the OPR shall annotate the form in red and return the form through the DoD Component FMO to the DIOR, WHS. After changes are made, a new draft date is assigned and the form is forwarded through the DoD Component FMO, to the OPR for acceptance. This process continues until the OPR accepts the design of the form.

(2) If only minor changes are required on the draft form, the OPR may accept the form with the changes noted. The OPR should mark up the form to reflect the desired changes, then write "Artwork Accepted as Annotated," and sign and date the back of each page of the draft form. This procedure precludes the necessity of creating additional draft versions.

(3) If the DoD Component OPR accepts the draft with no changes, the OPR writes "Artwork Accepted," and signs and dates the back of each page of the draft form. The signature of the DoD Component FMO will be accepted instead of the OPR.

(4) After the OPR accepts the artwork, the DIOR, WHS, finalizes the artwork, assigns a form number and edition date, and forwards camera-ready copies of the finalized form, for printing and distribution, to the DoD Component FMO and to other DoD Components FMOs who will use the new form.

3. DoD Component Forms. The procedures for designing DoD Component Forms are defined by the DoD Component FMO.

CHAPTER 5

EXCEPTIONS TO FORMS

A. Types of Exceptions. Exceptions are deviations from normal usage of a form and they must be approved by the Component OPR of the form. An exception may be either for change in the content, the format, or the printing of a form, for the creation and use of an electronic version of a form, or for the use of the content of the form in an electronic data interchange data format.

1. Content Exception. A content exception is a change in the substance of the form or it is a change in the information or data collected on the form. A change in the title of a block caption of a form or the addition of a new block to collect new data are examples of content exceptions.

2. Format Exception. A format exception is a change in the arrangement or sequence of the data elements or the spacing of entries on a form without change to the information or data to be collected on the form.

3. Printing Exception. A printing exception is a change in the mandatory printing specifications of a form or it is a change to the construction of the form; e.g., the weight of the paper, the number of carbon copies, etc. Not all forms, however, have mandatory printing specifications. The need for a printing exception applies only when a form has mandatory printing specifications. Printing specifications are always mandatory for SFs and OFs.

a. Overprint. An overprint is the printing of identical entries (such as a return address or an RCS Number) in an appropriately captioned area of a form.

b. Overprints do not normally require exception approval. An exception, however, must be approved by the GSA to overprint any information in a "Remarks" section of an SF or OF, or to overprint any information which is not appropriate for a particular captioned area of an SF or OF; e.g., to print a person's name in a block captioned "Address."

4. Electronic Form Exception.

a. An electronic form exception is an approval to reproduce the image of a form from a stored electronic file of a computer system. An electronic form exception does not authorize the user to change the content or format of the form, but only to reproduce the form electronically.

b. The printing of a form on pin-feed paper, so that the form can be fed through a printer, is a form construction issue and requires a printing exception if the form has mandatory printing specifications. The construction of a form on pin-feed paper is not considered an electronic form and does not require an electronic forms exception.

c. The computer-to-computer interchange of information, (Electronic Data Interchange (EDI)), that uses the contents of DD Forms or SFs/OFs as the standard prescribed information being exchanged, requires an electronic forms exception.

B. SFs and OFs.

1. Content, Format, and Printing Exceptions. SFs and OFs must be used in the construction supplied by FSS unless the requester has obtained an exception from the GSA to do otherwise, or unless the SF or OF is marked "Local Reproduction Authorized." In the latter case, only photocopies of the form are allowed unless an exception to deviate has been obtained previously from the GSA.

a. The Forms Exception Request Package. The request shall include an original and 3 copies of each of the following:

(1) The completed SF 152, "Request for Clearance or Cancellation of a Standard or Optional Form or Exception." A sample of an SF 152 is shown at Figures 3-1a and 3-1b. Instructions for completing an SF 152 are given at Table 1.

(2) The draft of the proposed exception to the form. An electronic form exception shall include a paper copy of the electronically-generated form.

(3) A supporting statement. The supporting statement shall explain the reason for the request and explain why the existing form cannot be used. The statement shall also provide cost-benefit information and include the estimated number of the excepted forms expected to be used per year. Copy designations must be identified and justified for multiple-part forms. Requests for content exceptions shall include justification for each data element changed, deleted, or added.

(4) A copy of printing specifications. The promulgating office or OPR, should consult with the DoD Component's printing specialists to develop the necessary printing specifications. The appropriate printing requisition should be used: SF 1, SF 1-C, GPO Form 1026a, or GPO 2511. Printing requisitions are available from the DoD Component distribution and printing offices.

b. Forms Exception Request Process. A request for an exception to an approved form shall be processed through proper channels and approved before it is implemented. A flow chart of the SF/OF exception process is at Figure 5-1.

(1) A request for an exception to an SF or OF shall be submitted through the requesting DoD Component FMO to the DIOR, WHS.

(2) The DIOR, WHS, shall review the request to validate the need for the exception, to determine if an existing DoD exception for the form already exists, and to ensure that the SF 152 and required supporting documentation are correct and complete.

(a) If the request is not validated by the supporting documentation, is not complete, or is incorrect, it shall be returned to the requesting DoD Component FMO for appropriate action.

(b) If a current DoD exception exists, the DIOR, WHS, shall provide the requesting DoD Component FMO a copy of the approving SF 152 and return the request via the requesting DoD Component FMO.

(c) If the package is complete and accurate, and a current DoD exception does not exist, the SF 152 shall be signed by the DoD Standard and Optional Forms Liaison Representative and the forms request package shall be forwarded to the GSA.

(3) The GSA reviews the request to validate the need for the exception, and to ensure that the SF 152 and required supporting documentation are correct and complete.

(a) If the request is not valid, or is not complete or correct, it is returned through the DIOR, WHS, to the requesting DoD Component FMO for appropriate action.

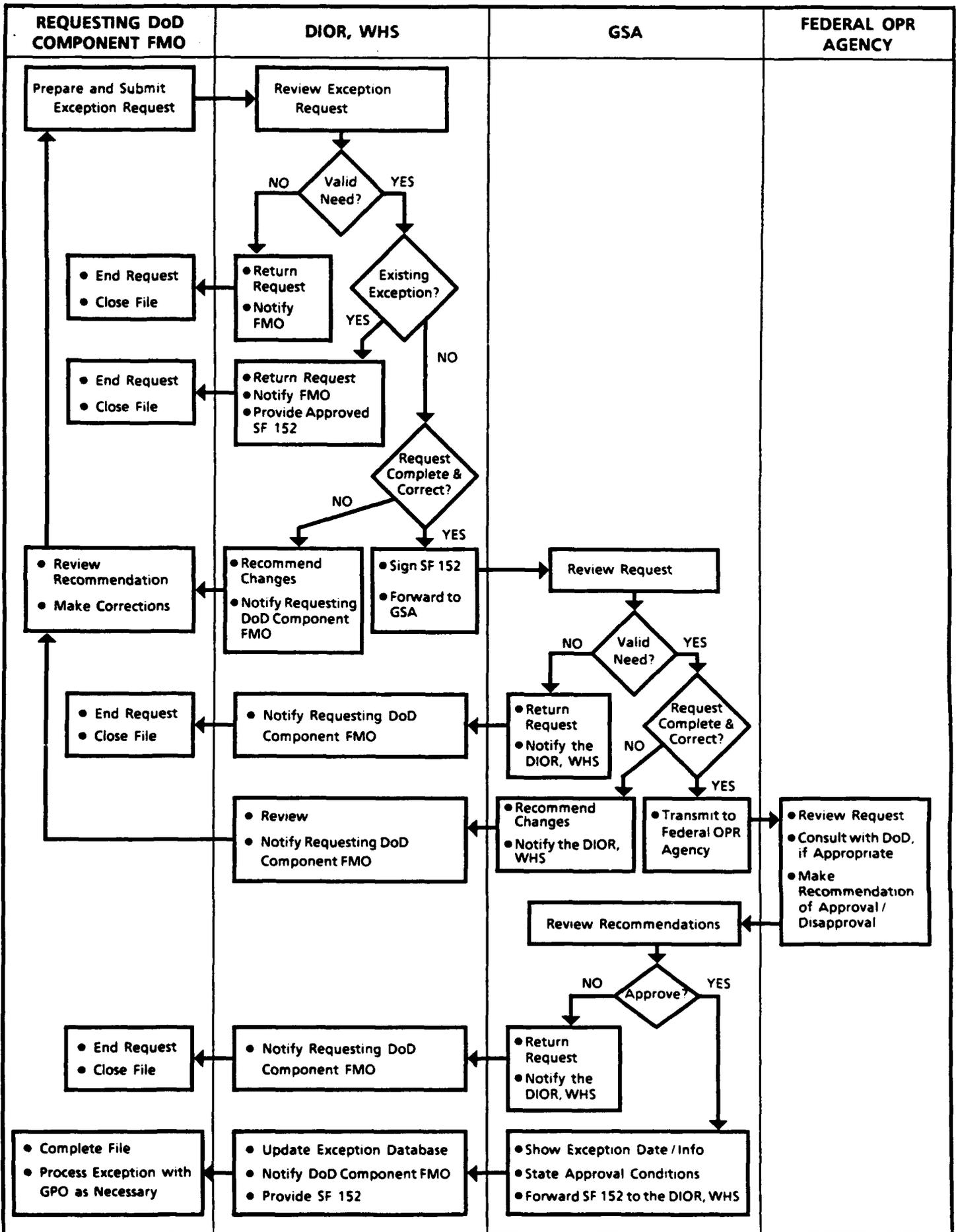
(b) If the package is complete and accurate, the GSA forwards the forms request package to the promulgating Federal Agency.

(4) The promulgating Federal Agency reviews the request and makes a recommendation of approval or disapproval to the GSA.

(5) The GSA reviews the recommendations and provides the DIOR, WHS, with the official SF 152, stating the GSA's approval or disapproval. If the request is approved, the GSA provides the exception information to be included on the form.

FIGURE 5-1

APPROVAL PROCESS FOR DoD EXCEPTIONS TO SFs AND OFs



(6) The DIOR, WHS, shall notify the requesting DoD Component FMO of the determination, when appropriate, and update the DIOR, WHS, listing of approved DoD exceptions to SFs and OFs.

(7) The requesting DoD Component shall be responsible for requisitioning the printing and providing the stock of the approved exception.

c. DoD Approved Exceptions to SFs or OFs.

(1) Approved exceptions must display the following on the first page, below or near the form number: "DoD Exception to (form number) approved by GSA/IRM (month/year)."

(2) Any DoD Component may use an approved DoD exception, except those approved for electronic forms. The DIOR, WHS, shall maintain the inventory and records of all approved DoD exceptions to SFs and OFs. The DIOR, WHS, shall periodically distribute the list of approved DoD exceptions to the DoD Component FMOs and shall provide, upon request, a copy of the approving SF 152 for an exception. A copy of the approving SF 152 must be forwarded to the GPO, along with the printing requisition, in order to have a SF or OF printed in the "excepted" manner.

2. Electronic Forms Exceptions.

a. SFs and OFs prescribed by the Federal Acquisition Regulation (FAR). In accordance with Part 53.105 of the Federal Acquisition Circular (FAC) 84-53 (reference (z)), DoD Component users may electronically generate SFs and OFs prescribed by the FAR without exception approval, providing there is no change to the content, format, or sequence of the data elements, and the form carries the SF or OF number and edition date.

b. SFs and OFs Not Prescribed by the FAR. Electronic versions of SFs or OFs that are not prescribed by the FAR must be approved as an exception by the GSA prior to implementation. Procedures for obtaining an exception to create and use an electronic version of an SF or OF are the same as those for content, format, and printing exceptions described in Chapter 5, paragraph B.1., above.

3. Effect of Form Revision on Approved Exceptions.

a. Printing Exceptions.

(1) When an SF or OF is revised, existing printing exceptions may still be used, if the user revalidated the continued need for the exception and the revision is not a usable construction. The GSA shall notify the DIOR, WHS, when an SF or OF is revised and provide a list of all approved DoD exceptions

to the revised form. The DIOR, WHS, shall notify the DoD Components of the revision and request verification of continued need for the approved printing exceptions for the subject form. If the DoD Components verify that they still need the printing exception(s), the DIOR, WHS, shall notify the GSA that the exception(s) remain(s) valid and usable with the revised edition of the form.

(2) Printing exceptions become void when a revised form in a construction that meets user needs is stocked by the GSA/FSS.

b. Other Exceptions. When an SF or OF is revised, existing content, format, and electronic form exceptions are no longer valid. If the DoD Component has a continued need for one of these exceptions, the DoD Component shall submit a new request for an exception in accordance with the procedures established in Chapter 5, subsection B.1., above.

C. DD Forms.

1. Content, Format, and Printing Exceptions.

a. Forms Exception Request Package. The request shall be written and shall define the user's form requirements, state the type of exception that is requested, and provide justification explaining why the exception is needed.

b. Forms Exception Process. A request for an exception to an approved form shall be processed through proper channels, and must be approved prior to implementation of the exception. A flow chart of the DD Forms exception process for content, format, and printing exceptions is at Figure 5-2.

(1) The request for the exception to a DD Form shall be prepared by the requesting DoD Component office and submitted through their DoD Component FMO to the DIOR, WHS.

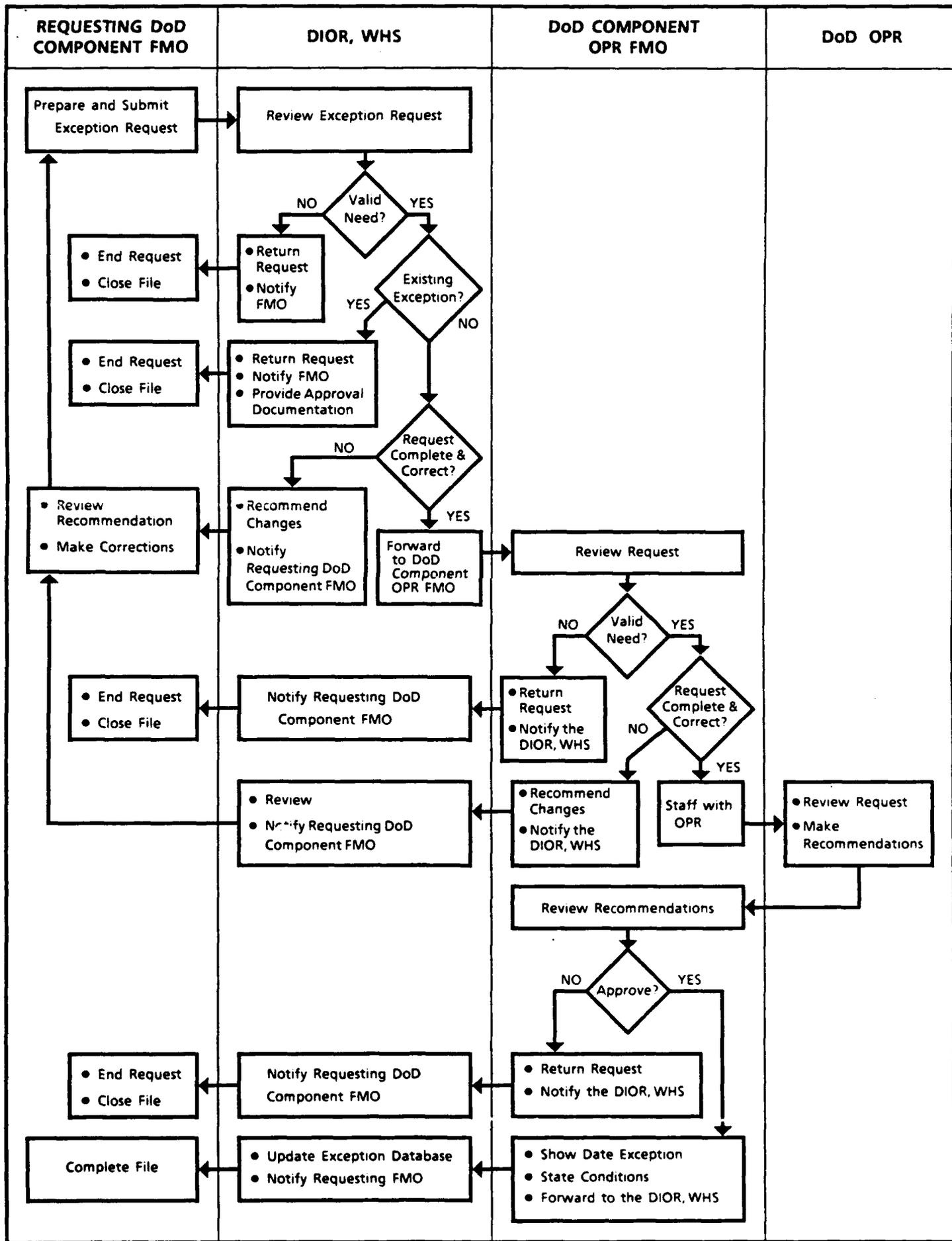
(2) The DIOR, WHS, shall review the request to validate the need for the exception, to verify that the request is correct and complete, and to determine if this particular exception has already been approved for DoD use with this form.

(a) If the request is not valid, or is not correct or complete, it shall be returned through the requesting DoD Component FMO to the requesting office for appropriate action.

(b) If a current DoD exception exists, the DIOR, WHS, shall provide the requesting DoD Component FMO a copy of the approving documentation.

FIGURE 5-2

APPROVAL PROCESS FOR DoD COMPONENT EXCEPTIONS TO DD FORMS



(c) If the package is valid, complete, and correct, the request shall be forwarded to the DoD Component FMO of the OPR.

(3) The OPR Component FMO shall review the request for validity and accuracy.

(a) If the request is not valid, or not correct or complete, it shall be returned through the DIOR, WHS, to the requesting DoD Component FMO for appropriate action.

(b) If the package is valid, complete, and accurate, the request shall be forwarded by the FMO to the OPR.

(4) The OPR shall review the request and, through its Component FMO, notify the DIOR, WHS, of its final determination.

(5) The DIOR, WHS, shall forward the determination to the requesting DoD Component FMO. If the request is approved, the exception statement to be included on the form and any special conditions or stipulations are provided in the approval notice.

(6) The requesting DoD Component shall be responsible for requisitioning the printing and providing the stock of the approved exception.

2. Electronic Forms Exceptions. Electronic versions of DD Forms may be only created for those DD Forms that have been authorized for electronic use by the DoD Component OPR. The authorization for electronic use of each DD Form is indicated in DoD 7750.7-L (reference (e)).

a. Forms Authorized for Electronic Use. All electronic versions of a DD Form authorized for electronic use by the DoD sponsoring office are approved for electronic generation and use provided the following conditions are met:

(1) If a DD Form is authorized for electronic use without any stipulations, all electronic versions of the form are approved provided the content, format, and sequencing of each electronic version of the DD Form are consistent with the current approved edition of the form as listed in DoD 7750.7-L (reference (e)).

(2) If a DD Form is authorized for electronic use with special conditions or stipulations, electronic versions of the form are approved provided the content, format, and sequencing of the form are consistent with the current approved edition of the form and the special conditions or stipulations of the DoD Component OPR are honored. If there is a need to

electronically generate this form, follow the procedures outlined in subparagraph C.2.b., below.

(3) The office or organization creating the electronic version of a form is responsible for ensuring compliance with 5 CFR 1320 (reference (y)) and DoD 5400.11-R (reference (p)) by displaying the OMB Control Number and expiration date, the ADN, and the PAS, as appropriate, on the electronic version of the form.

b. Forms Not Authorized for Electronic Use. If a form is not authorized for electronic use, electronic versions of the form cannot be used unless an exception to use the form electronically is approved by the DoD Component OPR.

(1) The Forms Exception Request Package. The request package shall include:

(a) A justification for the need for the electronic version of the form.

(b) A comprehensive explanation of how the electronic version of the form will be used.

(c) A paper copy of the electronic version of the form.

(2) The Forms Exception Process. The forms exception request package shall be processed through proper channels and approved before it is implemented. The forms exception request package shall be submitted through the requester's DoD Component FMO to the DIOR, WHS. The DIOR, WHS, shall review the request and forward it through the Component FMO to the form's DoD Component OPR for final determination.

D. DoD Component Forms. The procedure for obtaining an exception to a DoD Component Form is established by the DoD Component when a DoD Component office requests an exception to a Component Form. The Component FMO processing procedures and directives are followed. DoD Component FMOs are listed in DoD 7750.7-L (reference (e)).

CHAPTER 6

PRINTING OF FORMS

- A. Printing and Distribution Costs. The printing, stocking, and distribution of forms is expensive and must be considered when analyzing forms requirements. Unless there are mandatory printing specifications, DD Forms may be printed in whatever construction meets the needs of the users. DoD Component FMOs should consult with their printing procurement and distribution specialists to determine the most cost-effective printing and distribution solution to meet their users' requirements. Printing factors that should be considered include the construction, type, size, and usage of the form. Distribution factors that should be considered include: number and location of distribution offices; warehousing, shipping and handling costs, etc.
- B. Centralized Printing of Forms. If a form is a high usage form and it is used by many organizations within a Component, it is normally most cost-effective to print the form centrally and to distribute the printed form to the using Component distribution centers.
- C. Local Reproduction Authorized (LRA) Forms. If a form is a low usage form; i.e., 100,000 copies annually by a DoD Component, it may be more cost-effective to print the form locally. An LRA form is reproduced without alteration by a reproduction and/or printing facility, NOT on an office copying machine.
- D. Copying of Forms. If a form has very low usage, it may be more cost-effective to use an office copying machine to reproduce the form as it is needed; i.e., 100 or fewer copies per year. Per copy costs using an office copying machine are several times more expensive than per copy costs using offset printing. Caution should be used due to the fact an office copy machine may slightly reduce or increase the image of a form, thereby negating the typewriter alignment and/or compatibility of a form.
- E. Reproduction of SFs and OFs. Unless the SF or OF is marked "Local Reproduction Authorized," all SF and OF forms must be procured from the GSA/FSS and used in the construction supplied by FSS, unless the requester has obtained an exception to do otherwise.

CHAPTER 7

SECURITY AND CONTROL OF FORMS

A. Form Security. DoD 5200.1-R (reference (w)) provides information on the safeguards of classified information. Classified forms should be processed and stored in a manner equivalent to the security level of the form.

1. Blank Forms. Most blank forms are unclassified. When a blank form is considered classified, appropriate security procedures shall be followed in the design, printing, distribution, and stocking of the form.

2. Completed Forms. When a completed form is considered classified, appropriate security procedures shall be followed in the routing, distribution, and filing of the form.

B. Control of Forms. When it is necessary to maintain control over the distribution of a form, methods of safeguarding and accounting for the form should be employed.

1. Safeguard Forms shall be kept in a safe, and access to the form shall be restricted to authorized individuals.

2. Controlling Distribution and Use of Forms.

a. Consecutive or serial numbering of the form facilitates the control and accountability of the form distribution and use. The need for consecutively numbered forms must be defined in the printing specifications. Forms control requirements may necessitate the allocation of exclusive blocks of serial numbers to the using organizations.

b. When it is essential that there be no missing or duplicate numbers in a series of consecutively numbered forms, the printing specifications should stipulate that guaranteed numbering is required. This assurance of the integrity of the series of a form is costly and should only be specified when necessary.

c. For more information concerning specifically controlled SFs and OFs, see FIRMR 41 CFR 201-9 (reference (g)).

CHAPTER 8

DISTRIBUTION OF FORMS

A. SFs and OFs.

1. Paper Media. The GSA is responsible for the printing and stocking of all SFs and OFs, except for those authorized for local reproduction, those stocked by the sponsoring agency, and those few forms available only from the Superintendent of Documents, U.S. Government Printing Office. Forms that are distributed through the FSS Supply Depots are usually available about 3 months after the form has been approved. If the existing stock of a prior edition of a form is to be used, the new edition will not be available until all stock is depleted.

a. DoD Users.

(1) DoD users may obtain some SFs and OFs through their respective DoD Component distribution channels. DoD users should contact their DoD Component FMO for information about the Component procedures for obtaining SFs and OFs.

(2) DoD users may also order SFs and OFs from the FSS Supply Depots, using Military Standard Requisitioning and Issue Procedures (MILSTRIP). GSA stock numbers must be used in ordering SFs or OFs. Stock numbers for SFs and OFs are listed in GSA's Federal Supply Catalogue under class 7540 and in the "Standard and Optional Forms Facsimile Handbook" (reference (j)), under the appropriate form number. Information for ordering SFs and OFs from FSS is at Figure 8-1.

b. The Public. The public may obtain SFs and OFs from the DoD Component with which they are doing business or which has the responsibility for the involved function. The public cannot purchase SFs or OFs from the Government.

2. Electronic Media.

a. The creation and use of an electronic version of an SF or OF is considered an exception.

(1) Electronic versions of SFs and OFs that are prescribed by the FAR do not need to be approved by the GSA provided there is no change to the name, content, or sequence of the data elements, and the form carries the SF or OF number and edition date.

FIGURE 8-1

**FEDERAL SUPPLY SERVICE (FSS) -
SF AND OF ORDERING INFORMATION**

SFs and OFs must be requisitioned according to FEDSTRIP or MILSTRIP procedures. DoD 4000.25-1-M (reference (aa)), is the operating guide for MILSTRIP and details the MILSTRIP procedures for DoD. The FIRM 41 CFR 101-26.200 (reference (ab)) is the operating guide for FEDSTRIP and details the FEDSTRIP procedures for the other Federal Agencies.

Requisitions for forms are forwarded to the FSS Furniture Commodity Center for processing and then to the nearest stocking FSS Supply Depot for distribution. The address of the Furniture Commodity Center is:

FSS Furniture Commodity Center
ATTN: 3FNI-CO
Room 405
Crystal Mall 4
Washington, DC 20406

To obtain more information concerning the ordering of SFs and OFs, contact the nearest FSS Regional Customer Service Officer or the FSS Inventory Management Branch (703) 557-0677.

(2) Electronic versions of SFs or OFs that are not prescribed by the FAR must be approved by GSA.

b. Procedures for obtaining an exception to create and use an electronic version of an SF or OF are described in Chapter 5 of this Manual.

B. DD Forms

1. Paper Media. Unless specified otherwise, each DoD Component FMO shall be responsible for printing and distributing the DD Forms used by their Component.

a. DoD Component Users

(1) DoD Component forms users of DD Forms should contact their DoD Component FMO for information about the component's procedures for distributing the forms. The DoD Component FMO for each DD Form is listed in DoD 7750.7-L, (reference (e)).

(2) DoD Component forms users may establish accounts and procure DD Forms from their respective DoD Component distribution center. General information about obtaining forms from the major DoD Components is given in Figure 8-2.

b. Other Federal Agencies. Other Federal agencies may establish accounts and procure DD Forms from the major DoD Component printing and distribution offices. General information about obtaining forms from the major DoD Components is given in Figure 8-2.

c. Public.

(1) The public may procure DD Forms from the National Technical Information Service (NTIS). General information about obtaining forms from the major DoD Components is given at Figure 8-2.

(2) If stipulated under contract, contractors may obtain the necessary forms from the DoD Component's contracting office. Specific questions pertaining to forms stock or accessibility should be addressed to the DoD Component FMO.

2. Electronic Media. The creation and use of an electronic version of a DD Form is considered an exception. See Chapter 5 of this Manual, for information about the creation, approval, and use of electronic versions of DD Forms.

C. DoD Component Forms. DoD Component forms are printed, stocked, and distributed by the DoD Component. For information concerning the distribution of DoD Component Forms, contact the

appropriate DoD Component FMO. General information about obtaining forms from the major DoD Components is given at Figure 8-2.

FORMS DISTRIBUTION INFORMATION - MAJOR DOD COMPONENTS

ARMY

Army users obtain all required forms through Army Blank Form Centers.

Other Federal Agencies may obtain limited quantities of Army or DD Forms from Blank Form Centers or they can establish an account with the Army's Printing and Distribution Center for larger quantities.

Contractors must submit requests to their Contracting Officer Representative (COR). For more information contact:

Inventory Management Division
USA Publications and Printing Command
ATTN: ASQZ-NV
Alexandria, VA 22331-0302

Telephone:
DSN: 221-6248
Commercial: (703) 325-6248

The public may procure forms from the National Technical Information Service (NTIS).

NAVY

Navy users obtain required forms through normal Navy distribution channels.

Other users may establish an account with the Navy's Printing and Distribution Center. For more information contact:

Customer Service
Navy Publications & Forms Directorate
5801 Tabor Avenue
Philadelphia, PA 19120

Telephone:
DSN: 442-3321
Commercial: (215) 697-3321

AIR FORCE

Air Force users should contact their Customer Account Representative (CAR) at organization level, who in turn contacts the base Publications Distribution Office (PDO) for all forms requirements.

The public should contact NTIS.

NTIS

National Technical Information Service (NTIS)
5285 Port Royal Road
Springfield, VA 22161

Telephone: (703) 487-4684

CHAPTER 9

CANCELLATION OF FORMS

A. SFs and OFs.

1. SFs and OFs may only be cancelled by the OPR of the form. To cancel a DoD sponsored SF or OF, the promulgating office shall submit a completed SF 152, signed by the DoD Component FMO, through the DIOR, WHS, to the GSA. The SF 152 must include information on the disposition of the existing stock in items 28 through 31. A statement providing a valid reason for cancellation must also be attached or be included in block 46, "Additional Remarks," on the SF 152. Instructions for completing the SF 152 are in Table 1.

2. Upon receipt of the GSA's approval of the cancellation, the DIOR, WHS, shall forward a copy of the approving SF 152 to the DoD Component FMO. A notice of the form cancellation is included in the Standard and Optional Forms Clearance Register, which is a periodic update to the "Inventory of Standard and Optional Forms" (reference (k)). The DIOR, WHS, forwards copies of notices of the form cancellation to the DoD Component FMOs.

B. DD Forms.

1. DD Forms may only be cancelled by the DoD Component OPR. To cancel a DD Form, the form's OPR shall forward a completed DD Form 67 through their DoD Component FMO to the DIOR, WHS, notifying the DIOR, WHS, that the subject form is no longer required. The cancellation should be coordinated with the using DoD Components, using blocks 15a through d on the cancelling DD Form 67.

2. The DIOR, WHS, shall review the DD Form 67 and process the request for the cancellation. Upon approval by the DIOR, WHS, a signed copy of the DD Form 67, officially cancelling the form, shall be forwarded to the DoD Component FMO and the using DoD Components (as listed on the DD Form 67 for the subject form). The DoD Component FMOs shall notify all of their Component's users that the form has been cancelled.

C. DoD Component Forms. To cancel a DoD Component Form, the OPR for the form shall submit a completed DD Form 67 to their DoD Component FMO in accordance with Component procedures. DoD Component FMOs are listed in DoD 7750.7-L (reference (e)).