



**DoD 7750.07-M**  
Incorporating Change 1, August 14, 2012

# **DoD FORMS MANAGEMENT PROGRAM**

## **PROCEDURES MANUAL**

**May 7, 2008**

**WASHINGTON HEADQUARTERS SERVICES**

## FOREWORD

This Manual is issued under the authority of DoD Instruction 7750.07 (Reference (a)). It implements policy, assigns responsibilities, and provides specific procedures for management of the DoD Forms Management Program.

DoD 7750.7-M, “DoD Forms Management Program Procedures Manual,” August 14, 1991, (Reference (b)) is hereby canceled.

This Manual applies to:

- OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities in the Department of Defense (hereafter referred to collectively as the “DoD Components”).
- The creation, coordination, printing, control, revision, cancellation, distribution, and use of forms within the Department of Defense; the processing and use of exceptions to existing forms; and the management of all forms regardless of medium (paper or electronic) or designation (data elements or fields, format, or information management tools). These forms include DoD (DD) Forms, Standard Forms (SFs), Optional Forms (OFs), and DoD Component forms (e.g., Secretary of Defense (SD) and Department of the Army (DA) Forms).

This Manual does not apply to:

- Forms used exclusively for cryptological activities, forms used only ONCE as part of a survey, or forms that are formats as defined in this Manual.
- Printed items without spaces for entering information such as instruction sheets, placards, tags, labels, and form letters. These items may be assigned form numbers and controlled through the DoD Forms Management Program only for purposes of referencing, stocking, inventory, and distributing.

This Manual:

- a. Is effective May 7, 2008, and is mandatory for use by all the DoD Components.
- b. Must be reissued, cancelled, or certified current within 5 years of its publication in accordance with DoD Instruction 5025.01 (Reference (c)). If not, it will expire effective May 7, 2018 and be removed from the DoD Issuances Website.

Send recommended changes to this Manual to:

Director, Washington Headquarters Services  
Executive Services Directorate (Information Management Division)  
1155 Defense Pentagon, Room 3C842  
Washington, DC 20301-1155

This Manual is approved for public release. Copies may be obtained through the Internet from the DoD Issuances Web Site at <http://www.dtic.mil/whs/directives>.



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Director  
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REFERENCES

- (a) DoD Instruction 7750.07, "DoD Forms Management Program," April 20, 2007
- (b) DoD 7750.7-M, "DoD Forms Management Program Procedures Manual," August 14, 1991 (hereby canceled)
- (c) DoD Instruction 5025.01, "DoD Directives Program," October 28, 2007
- (d) DoD Directive 5110.4, "Washington Headquarters Services (WHS)," October 19, 2001
- (e) Parts 102-193 and 102-194 of title 41, Code of Federal Regulations
- (f) Administrative Instruction 86, "Office of the Secretary of Defense (OSD) Forms Management Program," March 10, 2006
- (g) DoD 5400.11-R, "Department of Defense Privacy Program," May 14, 2007
- (h) DoD 5200.1-R, "Information Security Program," January 14, 1997
- (i) Deputy Secretary of Defense Memorandum, "DoD Social Security Number (SSN) Reduction Plan," March 28, 2008
- (j) Office of the Assistant Secretary of Defense (Command, Control, Communications and Intelligence) Memorandum, "DoD Web Site Administration Policies & Procedures," November 25, 1998, including all updates through January 11, 2002<sup>1</sup>
- (k) General Services Administration Handbook, "Standard and Optional Forms Procedural Handbook," August 2001<sup>2</sup>
- (l) DoD Directive 5015.2, "DoD Records Management Program," March 6, 2000
- (m) Administrative Instruction 15, Vol. I, "Administrative Procedures for the Office of the Secretary of Defense (OSD) Records Management Program," November 14, 2006, and Vol. II, "Records Disposition Schedules," April 18, 2008
- (n) DoD 5400.7-R, "DoD Freedom of Information Act Program," September 4, 1998
- (o) Public Law 104-13, "Paperwork Reduction Act of 1995," May 22, 1995
- (p) Title XVII of Public Law 105-277, "Government Paperwork Elimination Act," October 19, 1998
- (q) Public Law 106-229, "Electronic Signatures in Global and National Commerce Act of 2000," June 30, 2000
- (r) Section 794d of title 29, United States Code
- (s) DoD Directive 8320.02, "Data Sharing in a Net-Centric Department of Defense," December 2, 2004
- (t) DoD Instruction 8910.01, "Information Collection and Reporting," March 6, 2007
- (u) DoD 8910.1-M, "Department of Defense Procedures for Management of Information Requirements," June 30, 1998
- (v) DoD 4525.8-M, "DoD Official Mail Manual," December 26, 2001

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<sup>1</sup> Available through the Internet at [http://www.defenselink.mil/webmasters/policy/dod\\_web\\_policy\\_12071998\\_with\\_amendments\\_and\\_corrections.htm](http://www.defenselink.mil/webmasters/policy/dod_web_policy_12071998_with_amendments_and_corrections.htm)

<sup>2</sup> Available from the Standard and Optional Forms Management Office, GSA (Forms-XR), 1800 F Street, NW, Rm 7126, Washington, DC 20405-0002

DEFINITIONS

DL1. Controlled Form. A form whose unauthorized use may jeopardize DoD security or result in fraudulent financial gain or claims against the Government. Examples of controlled forms are serially-numbered forms that can be accounted for during printing, shipping, and issuing. Some prenumbered forms are not controlled but are numbered to manage items such as baggage and dry cleaning.

DL2. DD Form. A form approved by the Washington Headquarters Services, Executive Services Directorate (WHS(ESD)), for use by two or more DoD Components. The form may be hard copy, soft copy (electronic), or other media (e.g., Excel spreadsheet). The use of the form is either prescribed or adopted as shown in Figure DL.1.

Figure DL.1. Defining DD Forms

IF THE FORM IS:	AND PRESCRIBED BY:	THEN THE FORM IS:
Mandatory for use by the DoD Components	A public law or DoD issuance such as a: <ul style="list-style-type: none"> <li>• DoD Directive</li> <li>• DoD Instruction</li> <li>• DoD Manual</li> <li>• DoD Memorandum</li> <li>• Military Standard</li> <li>• Joint Publication</li> </ul>	A PRESCRIBED form
Optional for use by two or more DoD Components	A DoD Component regulation, manual, or instruction	An ADOPTED form

DL3. DoD Component Form. A form approved by a DoD Component for general use only within that DoD Component. The types of DoD Component forms are shown in Figure DL.2.

Figure DL.2. Defining DoD Component Forms

IF THE FORM IS:	AND PRESCRIBED BY:	THEN THE FORM IS:
Approved by the DoD Component Forms Management Officer	A DoD Component regulatory publication for use by more than one command in the Component	A COMPONENT form
Originated by a subordinate command of a DoD Component	A command regulatory publication for use by more than one organization in the command	A COMMAND form
Approved by the head of a DoD Component installation	An installation regulatory publication for use by more than one organization on the installation	An INSTALLATION form
Approved for use only within one office of a headquarters, command, or installation	Not prescribed by any regulatory publication	An OFFICE form



DL4. DoD Component Forms Management Officer (FMO). The point of contact (POC) in the DoD Component responsible for the DoD Component forms management program.

DL5. DoD FMO. The position responsible for managing the DoD Forms Management Program in accordance with DoD Directive 5110.4 (Reference (d)).

DL6. DoD Forms Management Program Web Site. The Internet portal to forms available in the Department of Defense, with hyperlinks to DoD Component forms. This Web site at <http://www.dtic.mil/whs/directives/infomgt/forms/formsprogram.htm> is the official site for DD, SD, and DoD-sponsored SFs and OFs.

DL7. DoD Lead Agent. The Component appointed as the lead for a very specialized or limited range of functions or responsibilities. This appointment remains in effect until the authority is revoked or superseded, or until the responsibilities become part of the Component mission. Appointment is by the Secretary of Defense, Deputy Secretary of Defense, or OSD Principal Staff Assistant or designee.

DL8. Electronic Data Interchange. The computer-to-computer exchange of business data in a standardized format between entities.

DL9. Electronic Form. An officially-prescribed set of data residing in an electronic medium that is used to produce a mirror-like image of the officially prescribed form (also identified as a computer-generated form). An electronic form may also contain prescribed fields for collecting data that can be integrated, managed, processed, and/or transmitted through an organization's information processing systems (also identified as a Web-based form). There are two types of electronic forms: one that is part of an automated transaction and one whose image/data elements reside on a computer.

DL10. Electronic Signature. A method of signing an electronic document that identifies and authenticates a particular person as the source of the electronic document and indicates such person's approval of the information contained in the electronic document.

DL11. Exception. A situation in which the Office of Primary Responsibility (OPR) has approved a change to the content, format, or printing of an approved form. Forms that are electronically-generated may require an exception.

DL11.1. Content Exception. An addition, change to, or deletion of one or more data elements displayed on a form. Examples of content exceptions include a field change or the addition of a new field to collect additional data. Content exceptions are not overprints.

DL11.2. Format Exception. A change made by altering the spacing and/or rearranging the data elements on a form without changing the data elements themselves.

DL11.3. Printing Exception. A change in the printing specifications or construction of a form, such as a change in color, paper size or type, multi-part sets, marginally punched

constructions, or alternative printing technology. The need for a printing exception applies only when a form has mandatory printing specifications.

DL11.4. Electronic Form Exception. An electronic form exception is a request to create a form that the OPR has not approved for electronic generation.

DL12. Form. A fixed arrangement of captioned spaces designed for gathering, organizing, and transmitting prescribed information quickly and efficiently. A form may be in hard copy, soft copy (electronic), or other media (e.g., Excel spreadsheet). A form is considered a record and complies with all regulations cited in parts 102-193 and 102-194 of title 41, Code of Federal Regulations (Reference (e)).

DL13. Form Designation. The alphabetic preface to the form number. It identifies the promulgator of the form. For example, the form designation “DA” indicates the form is promulgated by the Department of the Army.

DL14. Format. A guide, table, sample, or exhibit that illustrates a predetermined arrangement or layout for presenting data. 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.

DL15. Licensing. The act of approving an information collection. The license authorizes the OPR to collect the approved information from designated respondents. Respondents may be either DoD organizations, other Federal agencies, or members of the public.

DL16. Mirror-Like Image. A replica of an official image created by computer software that is the best exactness of the official image that the software allows. Some variants may be fonts, margins, and size of entry field.

DL17. Non-Form Item. A printed product without spaces for entering information. Some non-form items are part of the forms program so that they may be controlled or inventoried (e.g., identification cards).

DL18. Obsolete Form. A form no longer in use.

DL19. OE. Developed by a Federal agency for use in two or more Federal agencies and approved by the General Services Administration (GSA) for nonmandatory Government-wide use. This criterion is the same whether the form media is paper or electronic. (See part 102-194.15 of Reference (e).)

DL20. Official Image. The approved image of a form issued for use throughout the Department of Defense or Federal Government.

DL21. One-Time Form. A form developed for a one-time requirement that becomes obsolete after completion of the requirement.

DL22. OPR. The DoD Component having responsibility for the overall ownership of and the prescribing document or issuance for a specific form. This term means the same as the term “promulgating agency” as used by the Standard and Optional (SF and OF) Forms Management Program.

DL23. OSD Component Forms POC (FPOC). The POC in each OSD Component that represents Component interests to the DoD FMO and is responsible for coordinating and/or complying with the policies and procedures of the OSD Forms Management Program as stated in Administrative Instruction (AI) 86 (Reference (f)).

DL24. Overprinting. The displaying of identical entries in an appropriately captioned area or fillable field existing on a form (e.g., statements displayed in the “Remarks” field on the DD Form 1610, “Request and Authorization for TDY Travel of DoD Personnel”) required by a DoD Component. Adding the statements will not change the information being collected on the form. Overprints are not exceptions. Electronic forms that are partially completed, saved, and then reused are not overprints.

DL25. Personal Information. Defined in DoD 5400.11-R (Reference (g)).

DL26. Prescribing Document or Issuance. The written communication that starts or oversees an action, conduct, or procedure. The prescribing document or issuance establishes a requirement for and prescribes the required use of a form by the organizations and individuals identified in the scope of the document or issuance, unless instructions in the document or issuance specifically state otherwise or a written waiver is granted. Prescribing issuances are often public laws or DoD Directives, Instructions, Directive-Type Memorandums, and Publications, and include materials usually issued to multiple addresses for insertion in policy, administrative, or operations manuals. News releases, program announcements, catalogs, price lists, training materials, and correspondence are not included.

DL27. Public. 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.

DL28. Report. The data or information that is prepared for use in determining policy; planning, controlling, and evaluating operations and performance; making administrative decisions or preparing other reports.

DL29. Safeguarded Form. A form for which the requester and user are responsible, ensuring measures and controls are prescribed to protect the form. The form may be sensitive and vulnerable to fraudulent use. Required markings, if any, and security guidelines are set forth in DoD 5200.1-R (Reference (h)). These markings and guidelines are used during the life cycle of the form.

DL30. SF. A fixed or sequential order of data elements, assigned an SF number, prescribed by a Federal agency through regulation, and approved by GSA for mandatory Government-wide use. This criterion is the same whether the form media is paper or electronic. (See parts 102-194.10 of Reference (e).)

DL31. Stocked and Issued (S&I) Form. A form or non-form item that is stocked and issued by a DoD Component. The DoD Component whose office symbol appears with the title of the form (e.g., SD Form 7777, "Listing of Forms Managers (S&I by WHS(ESD))") is the office that stocks and issues the form. The forms distribution centers may NOT requisition or stock this form.

DL32. Superseded Form. A form that has been replaced by a new edition of the form.

DL33. Supersession Notice. A notice specifying whether the existing stock of a superseded form may be used or is obsolete.

DL34. Test Form. A form that is tested for use in one or more DoD Component offices for a period not to exceed 1 year. A DoD Component Directive-Type Memorandum pending approval of a prescribing issuance may prescribe the form. The sponsor of the form or the forms distribution center shall distribute the stock only to those DoD Component offices that the sponsor designates to participate in the test. The word "TEST" shall be annotated in parentheses following the form number (e.g., "DD Form 1234 (TEST), MAR 2003").

ABBREVIATIONS AND ACRONYMS

ADN	Agency Disclosure Notice
AI	Administrative Instruction
ASD(NII)/DoD CIO	Assistant Secretary of Defense (Networks and Information Integration)/DoD Chief Information Officer
CAC	Common Access Card
DA	Department of the Army
DD	Department of Defense Form
ESD	Executive Services Directorate within WHS
FMO	Forms Management Officer
FPOC	Forms Point of Contact
FSS	Federal Supply Service
GPO	Government Printing Office
GSA	General Services Administration
IMD	Information Management Division within WHS(ESD)
IMCO	Information Management Control Officer
OF	Optional Form
OMB	Office of Management and Budget
OPM	Office of Personnel Management
OPR	Office of Primary Responsibility
PAS	Privacy Act Statement
POC	Point of Contact
RCS	Report Control Symbol
SD	Secretary of Defense Form
SF	Standard Form
SF and OF	Standard and Optional Forms
S&I	Stocked and Issued
USPS	U.S. Postal Service
WHS	Washington Headquarters Services

## C1. CHAPTER 1

### GENERAL INFORMATION

#### C1.1. POLICY

It is DoD policy that:

C1.1.1. DoD forms shall, in accordance with Reference (a):

C1.1.1.1. Satisfy a valid need and be necessary for the efficient and economical operation of the Department of Defense.

C1.1.1.2. Be properly designed with clear instructions.

C1.1.1.3. Be standardized and promote consolidation throughout the Department of Defense.

C1.1.1.4. Be created, distributed, and used electronically to the maximum extent possible.

C1.1.2. The use of social security numbers within DoD forms shall be reduced or eliminated wherever possible in accordance with Deputy Secretary of Defense Memorandum (Reference (i)).

#### C1.2. RESPONSIBILITIES OF THE ASSISTANT SECRETARY OF DEFENSE FOR NETWORKS INFORMATION AND INTEGRATION/DoD CHIEF INFORMATION OFFICER (ASD(NII)/DoD CIO)

The ASD(NII)/DoD CIO shall provide overall policy for the DoD Forms Management Program as specified by Reference (a).

#### C1.3. RESPONSIBILITIES OF THE DIRECTOR, WHS

The Director, WHS, under the authority, direction, and control of the Director, Administration and Management, shall manage the DoD Forms Management Program pursuant to Reference (d)). In this capacity the Director, WHS shall:

C1.3.1. Implement DoD forms management policy as specified in Reference (a); maintain and publish this Manual consistent with DoD Instruction 5025.01 (Reference (c)).

C1.3.2. Perform the duties of the DoD FMO for the Secretary of Defense with the assistance of the WHS(ESD) Information Management Division (hereafter referred to as “IMD”) and the OSD FPOCs.

C1.3.3. Provide guidance and assistance to DoD Component FMOs and OSD FPOCs on forms management issues, serve as the FMO for the OSD Components, and provide guidance and assistance to OSD FPOCs consistent with Reference (f).

C1.3.3.1. Conduct periodic reviews and studies to ensure that DoD Component FMOs and OSD FPOCs follow the policies and procedures of the DoD Forms Management Program and that these policies and procedures are implemented in their Component forms management programs.

C1.3.3.2. Maintain the DoD Forms Program Management Web Site and serve as the single source of information for forms belonging to and used within the Department of Defense in accordance with Office of the Assistant Secretary of Defense (Command, Control, Communications, and Intelligence) Memorandum (Reference (j)).

C1.3.3.3. Represent the Department of Defense to other Government agencies on forms management policy matters.

C1.3.3.4. Ensure that all forms within the Department are raised to the highest level of forms designation (e.g., certain forms may qualify as a DD versus a DA Form).

C1.3.4. For DD Forms:

C1.3.4.1. Review and approve or disapprove all requests to create, revise, or cancel DD Forms; notify all affected DoD Components of any new, revised, or canceled DD Forms; assign form numbers AND edition dates for all DD Forms.

C1.3.4.2. Review DoD Component requests for exception to DD Forms before forwarding to DoD Component FMOs for sponsor approval.

C1.3.4.3. Periodically review all active DD Forms for continued need, effectiveness, possible consolidation, and conformity to policy and procedures; eliminate duplicate DD Forms.

C1.3.4.4. Ensure all DD forms are designed in accordance with References (b) and GSA Handbook (Reference (k)); create or approve the creation of the camera-ready copy of DD Forms as needed; approve the creation of electronic versions of all DD Forms.

C1.3.4.5. Ensure all DD Forms asking for personal information contain an appropriate Privacy Act Statement (PAS).

C1.3.4.6. Maintain a database that produces an accurate inventory of all current and canceled DD Forms.

C1.3.4.7. Maintain necessary management information as well as a historical record for each DD Form to include retaining all editions of a form from cradle to grave; maintain and dispose of these records including electronic records in accordance with DoD Directive 5015.2 (Reference (l)) and AI 15 (Reference (m)).

C1.3.5. For SFs and OFs, perform the duties of the DoD SF and OF Liaison Representative, IMD, in accordance with Reference (e).

C1.3.5.1. Obtain GSA approval for each new, revised, or canceled SF- or OF- sponsored by the Department of Defense before planned implementation.

C1.3.5.2. Review all DoD requests for exceptions to SFs and OFs before forwarding to the Federal agency OPR for approval; coordinate recommendations on requested exceptions to DoD-sponsored SFs and OFs.

C1.3.5.3. Maintain a historical record for each DoD-sponsored SF and OF and each DoD-requested exception to an SF or OF.

C1.3.5.4. Maintain an accurate database of SF and OF exceptions granted to the DoD Components.

C1.3.5.5. Conduct reviews of exceptions to SFs and OFs for continued need.

C1.3.5.6. Distribute SF and OF information and publications received from GSA to the DoD Component FMOs.

#### C1.4. RESPONSIBILITIES OF THE HEADS OF THE DoD COMPONENTS

The Heads of the DoD Components shall:

C1.4.1. Implement a DoD Forms Management Program within their Components.

C1.4.2. Designate an individual as the DoD Component FMO to represent Component interests to WHS(ESD).

C1.4.3. Ensure personnel within their Components submit all requests, actions, or queries about DD Forms, SFs, and OFs through their respective DoD Component FMOs to IMD.

C1.4.4. Ensure that responsible officials at all levels within their DoD forms management programs:

C1.4.4.1. Ensure that forms within their organization comply with applicable laws and regulations, including, but not limited to, the Freedom of Information Act (implemented within DoD by DoD 5400.7-R (Reference (n))), the Privacy Act of 1974 (implemented within DoD by



Reference (g)), and Public Law 104-13 (Reference (o), commonly known as the “Paperwork Reduction Act”).

C1.4.4.2. Promote the use of technology to facilitate the creation, distribution, and use of electronic forms; promote the use of electronic transactions and electronic signatures as required by title XVII of Public Law 105-277 (Reference (p), commonly known as the “Government Paperwork Elimination Act”) and Public Law 106-229 (Reference (q)), commonly known as the “Electronic Signatures in Global and National Commerce Act”).

C1.4.4.3. Promote the use of technology to produce electronic forms that are accessible to DoD employees and other individuals with disabilities who need access to DoD information as required by section 794d of title 29, United States Code (Reference (r), commonly known as “Section 508 of the Rehabilitation Act”).

C1.4.4.4. Promote the use of common data elements contained in forms.

C1.4.4.5. Ensure conversions of other Federal agency forms (e.g., GSA, the Office of Personnel Management (OPM), the Department of Veterans Affairs) are reviewed and approved by the DoD Component FMO and the DoD SF and OF Liaison Representative before use.

## C1.5. RESPONSIBILITIES OF THE DoD COMPONENT FMOs

The DoD Component FMOs shall:

C1.5.1. Establish and manage forms management programs for their respective Components to implement the policy in Reference (a) and the procedures in this Manual; assist WHS(ESD) in conducting reviews and studies of their respective forms management programs.

C1.5.2. Act as liaison between their Components and WHS(ESD) on all forms matters; provide guidance and assistance to their Component users on all forms matters.

C1.5.3. For their Component forms:

C1.5.3.1. Establish internal procedures for creating, revising, distributing, and canceling Component forms.

C1.5.3.2. Ensure Component forms are properly identified by form number and edition date.

C1.5.3.3. Periodically review active Component forms for continued need and conformity to policy and procedures; eliminate duplicate Component forms.

C1.5.3.4. Ensure Component forms are at the highest level of forms designation.

C1.5.3.5. Ensure References (b) and (k) are used in designing Component forms.

C1.5.3.6. Ensure Component forms asking for personal information contain an appropriate PAS.

C1.5.3.7. Maintain an accurate inventory of all current Component forms.

C1.5.3.8. Maintain necessary management information and historical records for Component forms.

C1.5.4. For DD Forms:

C1.5.4.1. Review and approve all requests from within their Components to create, revise, or cancel DD Forms for which they are the OPR before forwarding to IMD; ensure all requests forwarded to IMD are complete and correct.

C1.5.4.2. Every 2 years review all Component-sponsored, high-use forms for possible improvement and all agency-sponsored forms that create a burden during preparation for possible elimination; forward a copy of the results of the review to IMD.

C1.5.4.3. Every 2 years review the application of technology and the use of electronic versions of DD Forms by their Components; forward a copy of the results of the review to IMD.

C1.5.4.4. Ensure GSA and DoD design guidelines are included in DD Forms. (See Chapter 4.)

C1.5.4.5. Ensure field names on DD Forms comply with guidance contained in DoD Directive 8320.02 (Reference (s)).

C1.5.4.6. Ensure all DD Forms asking for personal information contain an appropriate PAS and have a system of records.

C1.5.4.7. Notify Component users of all new, revised, or canceled DD Forms.

C1.5.4.8. Ensure that a DD Form has been approved for electronic use before an electronic version of the form is used within their Components.

C1.5.4.9. Contact IMD to ensure that their Components do not replicate DD Forms on their Web sites but reference or otherwise link to the DoD Forms Management Program Web Site. Permission to replicate or duplicate forms for placement on a server other than the DoD Forms Management Program Web Site must be obtained from the OPR through IMD (Reference (j)).

C1.5.4.10. Maintain necessary management information and historical records for the DD Forms sponsored by their Components.

C1.5.4.11. Ensure Component users have access to the current edition of DD Forms.

C1.5.4.12. Ensure Component systems administrators download the current edition of DD Forms onto their local area network, if necessary, and routinely monitor the DoD Forms Management Program Web Site for revisions and cancellations.

C1.5.4.13. Act, when so designated by the OSD OPR, as DoD Lead Agent for a DD Form.

C1.5.5. Operate the SF and OF Management Program within their respective DoD Components.

C1.5.5.1. Review, coordinate internally on, and approve all requests from within their Components for exceptions to existing SFs or OFs before forwarding to IMD.

C1.5.5.2. Review, coordinate with other using Federal agencies, and approve all requests from within their Components to create, revise, or cancel existing SFs or OFs before forwarding to WHS(ESD).

C1.5.5.3. Periodically review those SFs and OFs the Component has sponsored and for which the Component has received an exception to determine and implement possible forms improvement, consolidation, and cancellation. Forward a copy of the results of the review to WHS(ESD).

C1.5.5.4. Ensure that all SF and OF requests submitted to WHS(ESD) are current and complete.

C1.5.5.5. Keep users of SFs and OFs informed of changes, revisions, exceptions, and cancellations.

C1.5.5.6. Ensure that new and revised SFs and OFs are not implemented before GSA approval is obtained.

C1.5.5.7. Ensure that exception versions of SFs and OFs are not implemented before promulgating Federal agency approval is obtained.

C1.5.5.8. Ensure their individual DoD Component Web sites do not duplicate SFs and OFs without prior approval from the DoD SF and OF Liaison Representative and that their sites instead reference or otherwise link to the DoD Forms Management Program Web Site or the GSA Forms Library Web Site at <http://www.gsa.gov/forms>.

## C1.6. RESPONSIBILITIES OF THE OSD COMPONENTS

In addition to performing the responsibilities in section C1.5., the Heads of the OSD Components shall designate an FPOC to provide liaison with and assistance to the DoD FMO.

## C2. CHAPTER 2

### FORMS: GENERAL

#### C2.1. TYPES OF FORMS

The type of form is determined by the scope of its intended use and is indicated by the form designation. There is a hierarchy of form types. The lowest level of forms has the narrowest scope; the highest level has the broadest. DoD Component forms are at the lowest level and are used only by the individual DoD Component. SFs and OFs are at the highest level and are used throughout the Federal Government. It is DoD forms management policy (Reference (a)) to standardize forms to their highest level of use so that the common functionality of each form is shared and the total number of different forms used within the DoD community reduced. As the scope of a form's users broadens, the form should rise to the appropriate level and the form designation should be changed to reflect its scope.

##### C2.1.1. SFs

C2.1.1.1. All Federal agencies mandate SFs for use. The Federal agency and/or department whose mission includes the function of the particular form sponsors the SF. For example, OPM sponsors the SF 52, "Request for Personnel Action." A prescribing directive, regulation, or law mandates the use of an SF.

C2.1.1.2. SFs must be used as required. A DD Form or DoD Component form cannot be used in place of an SF unless an exception is first obtained from the promulgating Federal agency. Procedures for obtaining exceptions are outlined in Chapter 5.

C2.1.2. OF. OFs are forms developed by a Federal agency for use in two or more agencies and approved by GSA for nonmandatory Government-wide use. The Department of Defense may use a DD Form or a DoD Component form in place of an OF; however, a revision to an OF must be approved by GSA before its implementation.

C2.1.3. DD Form. DD Forms are for use by more than one DoD Component. DD Forms may be adopted or prescribed. (See Figure DL.1.) 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.

##### C2.1.4. DoD Component Form

C2.1.4.1. DoD Component forms are for use only within the given Component as indicated by the form designation. For example, DA forms are assigned a "DA" form number and are for use only within the Army. OSD forms are assigned an "SD" form number and are for use only within OSD.

C2.1.4.2. 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. (See Figure DL.2.)

C2.1.4.3. 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.

## C2.2. FORMS MEDIA

The media in which forms are available are paper or electronic; however, Reference (p) requires agencies to adopt electronic transactions of information when practicable.

C2.2.1. Electronic Forms. Defined in paragraph DL9.

C2.2.1.1. The DoD Components may electronically generate or automate DD Forms without exception approval, provided the forms have been approved for electronic generation and conform to the procedures in Chapter 5.

C2.2.1.2. Users shall retain and dispose of electronic forms in accordance with Reference (l).

C2.2.2. Paper Forms

C2.2.2.1. Paper media is used for forms having a specialized use (e.g., tags), when there are special security or integrity concerns (e.g., DD Form 2249, "DoD Building Pass Application"), and when there are unusual production costs (e.g., DD Form 2220, "DoD Registered Vehicle Decal").

C2.2.2.2. Users of SFs and OFs must use the existing GSA-approved constructions stocked by the GSA Federal Supply Service (FSS) unless they obtain an exception from the promulgating Federal agency. Reference (k) includes a list of forms that may not be automated or electronically generated without approval of the promulgating agency.

C2.2.2.3. If an SF or OF is replaced by an automated format or electronic form, the promulgating agency, through the SF and OF Liaison Representative, shall notify GSA of such and its impact on the need to stock the paper form.

## C2.3. FORMS PUBLICATIONS

C2.3.1. SFs and OFs. GSA provides a list of SFs and OFs on the GSA Forms Library Web Site.

C2.3.2. DD Forms. IMD provides a DD Forms Inventory that lists current approved and canceled DD Forms by form number and title on the DoD Forms Management Program Web Site.

C2.3.3. DoD Component Forms. The DoD Component FMOs shall maintain accurate records about their Component forms management programs. For information about DoD Component forms publications, contact the appropriate DoD Component FMO listed in the DoD Forms Management Points of Contact provided on the DoD Forms Management Program Web Site.

#### C2.4. PRESCRIBING AND CITING FORMS IN DOCUMENTS AND ISSUANCES

C2.4.1. All forms must have a prescribing document or issuance. The prescribing document or issuance must be published or updated prior to or simultaneously with the approval of each new or revised form. A form must be used as prescribed. Any deviation from the prescribing document or issuance must be approved by the OPR through the appropriate DoD Component FMO. An exception to this requirement are office forms as defined in Figure DL.2. When a form is cited in an issuance, the prescribing document or issuance shall be referenced.

C2.4.2. Both prescribing documents and issuances AND issuances citing a form shall:

C2.4.2.1. Provide the form designation, number, and title the first time the form is mentioned in the document or issuance (e.g., DD Form 67, "Form Processing Action Request"). Thereafter, only the designation and number (e.g., DD Form 67) are required unless repeating the title serves to clarify the text.

C2.4.2.2. State the purpose of the form, who prepares it, how to complete it, the number of copies required, and when and where to submit it. Forms completion instructions should reference item numbers, titles, etc., exactly as they appear on the form. Illustration of forms or data screens in DoD documents and issuances must have sample entries to show how they are used and a "SAMPLE" overlay.

C2.4.2.3. Identify the form's location on the Internet (e.g.: "An electronic version of DD Form 67 is available on the DoD Forms Management Program Web Site at <http://www.dtic.mil/whs/directives/infomgt/forms/formsprogram.htm>").

C2.4.3. Prescribing documents and issuances shall also:

C2.4.3.1. For classified forms, explain the reason for the security classification, cite markings for downgrading, and provide declassification instructions.

C2.4.3.2. Specify those activities or personnel authorized to requisition 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 safeguarded forms.

C2.4.3.3. Explain where to submit requisitions for the form's supply if the source is other than the normal distribution system (e.g.: "SF 700 is requisitioned from the Federal Supply Service."). Explanatory information must include the complete name of the organization and the method for obtaining the form (e.g., mailing address). If the form is available electronically on another Government Web site, provide the uniform resource locator.

## C2.5. 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 managing forms and reviewing forms-processing actions.

C2.5.1. DoD Information Management Program. The purpose of the DoD Information 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 decision making. The DoD Information Management Program is established by DoD Instruction 8910.01 (Reference (t)) and implemented by DoD 8910.1-M (Reference (u)).

C2.5.1.1. Use of Forms as Information Collection Instruments. Forms used as instruments to collect information from subordinate commands within a DoD Component or from other DoD Components, Federal agencies, or the public must display the appropriate report control data and be controlled as information collection instruments.

### C2.5.1.2. Coordination of Forms Used as Information Collection Instruments

C2.5.1.2.1. The OPR of forms used as collection instruments shall coordinate the creation or revision of these forms with their DoD Component Information Management Control Officer (IMCO) or the DoD Clearance Officer, WHS(ESD).

C2.5.1.2.2. DD Form 67, "Form Processing Action Request," shall be submitted to create or revise a DoD Component form or DD Form. (See Figure C3.F3.) For changes other than the Office of Management and Budget (OMB) expiration date, the DD Form 67 must be coordinated with the DoD Component IMCO or the DoD Clearance Officer.

C2.5.1.2.3. When the OMB expiration date is extended for an information collection for which an existing DoD Component form or DD Form is the collection instrument and there are no other changes to the form, an OMB Notice of Action shall provide the approval to change only the OMB expiration date and edition date on the form. The OPR shall provide written notification through the DoD Component FMO to the DoD FMO that there is no other change to the form. The written notification allows for verification and approval of the change for one OMB approval cycle. The next cycle will require a completed DD Form 67.

C2.5.1.3. Display of Report Control Information. If a form is approved as a collection instrument, the appropriate reports control information must be displayed on the finalized form. Electronic forms displaying expired reports control information may be removed from Web sites, intranets, and bulletin boards until the licensing is renewed. The DoD Clearance Officer shall

decide if a form is to be removed from a Web site because of expired report licensing and request that the DoD FMO remove the form. The DoD FMO shall notify the DoD Component FMO of the form removal. (See Chapter 4 for information about the display of reports control information on a form.)

#### C2.5.1.4. Types of Information Collections

##### C2.5.1.4.1. Internal Information Requirements

C2.5.1.4.1.1. An internal information 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.

C2.5.1.4.1.2. If a form is to be used by an OSD Component to collect information from the DoD Components, the information request shall be submitted on SD Form 455, "Request for Approval of Information Collection," through the DoD Component IMCO to the DoD Internal Reports Manager, WHS(ESD), who approves the collection and assigns an RCS. The DoD Internal Reports Manager shall notify the DoD FMO of the approval.

C2.5.1.4.1.3. 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. Each DoD Component has its own internal procedures for managing and controlling internal information requirements. The respective DoD Component procedures issuances are listed in Reference (u).

##### C2.5.1.4.2. Interagency Information Collections

C2.5.1.4.2.1. An interagency reporting requirement is data or information that is transmitted between Federal agencies for use in determining policy, controlling and evaluating operations and performance, making administrative determinations, or preparing other reports.

C2.5.1.4.2.2. If a form is to be used by a DoD Component to collect information from another Federal agency, the information request shall be submitted on SD Form 455 through the DoD Component IMCO to the DoD Internal Reports Manager, who licenses the collection and assigns a RCS.

##### C2.5.1.4.3. Public-Use Information Collections

C2.5.1.4.3.1. 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.

C2.5.1.4.3.2. 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 DoD Clearance Officer for review. The request is then forwarded to OMB who licenses the collection and assigns an OMB Control Number.



C2.5.2. Privacy Program. A form used to collect personal data from an individual must contain a PAS. The PAS provides information to the individual completing the form so that he or she can make an informed decision about whether to provide the information. Reference (g) provides policy for the development of an appropriate PAS for a form.

C2.5.2.1. Privacy Act Coordination. All proposed new or revised forms that collect personal data shall be coordinated with the DoD Component privacy POC. The DD Form 67 submitted to create or revise such a form shall provide the name, initials, office symbol, and telephone number of the coordinating DoD Component privacy POC.

C2.5.2.2. Display of PAS on a Form. If it is determined that the form is subject to the Privacy Act (Reference (g)), an appropriate PAS shall be developed and displayed on the form. (For information on the placement of a PAS on a form, see paragraph C4.1.1.10.)

C2.5.2.3. System of Records Notice. If personal information is collected by a form, it must be entered into a system of records. A system of records is a group of records that are retrieved by the name of an individual or some other personal identifier and that is under the control of a DoD Component (Reference (g)). The system of records number shall be indicated on the DD Form 67 and a copy included for approval along with the justification for collecting the personally-identifiable information. The Defense Privacy Office publishes the system of records notice.

C2.5.3. Computer Matching Program. Computer matching is the computerized comparison of two or more automated systems of records, including payroll and personnel systems of records, with those of another Federal agency or non-Federal organization for the purpose of verifying benefits or entitlement. Reference (g) implements the program within the Department of Defense.

C2.5.3.1. 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 on DD Form 67 with the DoD Component Privacy Act Officer.

C2.5.3.2. 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 shall be developed and incorporated into the form's PAS.

C2.5.4. Freedom of Information Act Program. Reference (n) establishes policy and guidelines concerning public access to Federal records. The DoD Components are required to identify restricted information including information contained on forms.

#### C2.5.5. U.S. Postal Service (USPS) Requirements

C2.5.5.1. Forms that are used as mailers shall be designed to meet USPS requirements and specifications. DoD 4525.8-M (Reference (v)) provides policy and procedures on DoD mail.

C2.5.5.2. The draft form subject to USPS specifications must incorporate USPS requirements into the design and be coordinated with a DoD Official Mail Manager. 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 mail management official.

C2.5.6. DoD Net-Centric Data Strategy. Reference (s) establishes policies and responsibilities to implement data sharing throughout the Department of Defense and authorizes the establishment of and assigns responsibilities for DoD data administration to plan, manage, and regulate data within the Department.

C2.5.6.1. The need for standardizing data in the Department of Defense has become critical with the technological advances in computer system hardware and 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.

C2.5.6.2. DoD standard data elements shall be used in DD Forms and 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 Standard. All new or revised forms shall be coordinated with the appropriate DoD Component Data Administration POC.

C2.5.6.3. 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 Administration POC.

## C2.6. EVALUATING SUGGESTIONS RELATED TO FORMS

Changes in the format, content, or construction of a form may lead to improved use, effectiveness, and/or reduced costs. Suggestions for changes to forms shall be submitted in accordance with the appropriate DoD Component suggestion program. Suggestions on forms shall be submitted through the respective Component 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 shall be processed and approved by the DoD Component OPR; suggestions on SFs or OFs shall be processed through official DoD suggestion channels to IMD for subsequent submission to the promulgating agency for final review and action including providing a copy to GSA.

### C3. CHAPTER 3

#### CREATION OR REVISION OF FORMS

##### C3.1. SFs AND OFs

C3.1.1. General. A DoD Component OPR establishing or revising an SF or OF shall submit a request to his or her Component FMO in accordance with Component procedures. The originating Component FMO shall submit the forms request package to the DoD SF and OF Liaison Representative, who shall validate the package and forward it to GSA for approval.

C3.1.2. SF and OF Request Package. The forms request package requires the following.

C3.1.2.1. A completed SF 152, "Request for Clearance or Cancellation of a Standard or Optional Form." Instructions for completing the SF 152 are on the front of the form. A sample is at Figure C3.F1.

C3.1.2.2. A brief justification explaining the need for the new form, or in the case of a revised form, the need for all changes proposed. If the form will not be electronically generated, automated, or locally reproduced without DoD permission, state why in the justification. GSA will add the form number and title to its listing titled "What Standard and Optional Forms Cannot Be Automated/Electronically Generated?" provided in Reference (k).

C3.1.2.3. A draft of the proposed new or revised form and an electronic file. (See section C4.2. for a discussion of the forms design process.) If the form is being revised, changes should be highlighted for quick identification.

C3.1.2.3.1. If the form is to be stocked in a paper medium by FSS, consult with the DoD Component printing specialist to develop the printing specifications. The forms request package must include a printing requisition, SF 1, "Printing and Binding Requisition to the Public Printer," and a copy of the printing specifications. All proofs for printed forms shall be sent directly to the issuing DoD Component for approval or disapproval.

C3.1.2.3.2. If the form is to be locally reproduced, add the following statement in the lower left corner of the form: "AUTHORIZED FOR LOCAL REPRODUCTION." Forms may be stocked by FSS or by the issuing agency as a local reproduction or print.

C3.1.2.3.3. If the form will be strictly electronic, i.e., part of an electronic transaction, include a list of the mandatory data elements for agencies to use as a basis for a form.

C3.1.2.3.4. For OFs that need stocking in FSS, commitment from two potential user agencies of their projected annual usage is required because of special distribution or control. Do not include the issuing agency as one of the two potential users. This requirement is waived

if changing a large demand SF into an OF (e.g., SF 1012, "Travel Voucher," is changed to OF 1012) or the form lends itself to local reproduction.

C3.1.2.4. The prescribing document or issuance requiring the creation or revision of the form must mention the use of the form. A final draft copy of the document or issuance is acceptable. The prescribing document or issuance identifier must appear on the form close to the form number.

C3.1.2.5. An announcement of the approved new or revised SF or OF must be published in the Federal Register. The announcement shall include:

C3.1.2.5.1. The form number, title, purpose, and instructions for use if not mentioned in the prescribing document or issuance.

C3.1.2.5.2. A statement that the form shall not be electronically generated, automated, or locally reproduced without the agency's permission, as applicable.

C3.1.2.5.3. The implementation date, approximate availability date, and disposition of present stock for revisions.

C3.1.2.5.4. The supply source and national stock number when applicable.

C3.1.2.6. Include copies of other supporting documents as required (e.g., OMB approval notice, interagency report approval notice).

C3.1.3. SF and OF Request Procedures. A flow chart of the approval process for the creation or revision of a DoD-sponsored SF or OF is provided at Figure C3.F2.

C3.1.3.1. Originating DoD Component

C3.1.3.1.1. The request to create or revise an SF or OF shall be prepared by the originating DoD Component and submitted to the Component FMO in accordance with Component procedures.

C3.1.3.1.2. The originating DoD Component FMO shall review the request to determine if there is a valid need for the form or revision, or a valid reason for the cancellation, and to ensure the SF 152 and supporting documentation are complete and correct.

C3.1.3.1.3. 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.

C3.1.3.1.4. 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 SF and OF Liaison Representative.

C3.1.3.2. SF and OF Liaison Representative. The SF and OF Liaison Representative shall:

C3.1.3.2.1. Review the forms request package to validate that a published and updated prescribing document or issuance establishes a requirement for and prescribes the mandatory use of the form, and shall ensure that the SF 152 and supporting documentation are complete and correct.

C3.1.3.2.2. If the request is not valid, incomplete, or incorrect, return the request to the originating component FMO for appropriate action.

C3.1.3.2.3. If the package is complete and accurate:

C3.1.3.2.3.1. Assign an unofficial draft form number and date to the form and ensure the design of the form is in compliance with Reference (k). (See Chapter 4 for details on the form design process.)

C3.1.3.2.3.2. Validate the package by signing the SF 152 in block 15 and forward the forms request package, including the draft form, to GSA.

C3.1.3.3. GSA. GSA shall:

C3.1.3.3.1. Verify that the request contains all relevant information.

C3.1.3.3.2. Review the form for compliance with design standards and compatibility for automation, and for automated forms, review the prescribed data elements for flow and clarity. If the design of the form does not meet criteria, a suggested image shall be sent to the SF and OF Liaison Representative.

C3.1.3.3.3. Ensure that approval will not result in duplicate forms or information collection.

C3.1.3.3.4. Assign the form number and edition date and sign the approved request.

C3.1.3.3.5. Enter the approved form in the SF and OF Inventory.

C3.1.3.3.6. Notify all agencies of the action by issuing a Standard and Optional Forms Clearance Register notice.

C3.1.3.3.7. Load the approved image on the GSA Forms Library Web.

C3.1.3.3.8. For disapprovals, indicate the reason on the SF 152 and return it to the SF and OF Liaison Representative. IMD shall notify the originating DoD Component FMO of disapprovals.

## C3.2. DD FORMS

C3.2.1. General. Before a request to create a DD Form is prepared, the DoD Component OPR or DoD Lead Agent and/or the DoD Component FMO shall research the inventory of existing forms to verify that an existing form cannot meet the requirement. The form OPR shall submit a request to establish or revise a DD Form to the DoD Component FMO in accordance with Component procedures and directives. The DoD Component FMO shall submit a forms request package to IMD for review, design, and approval.

C3.2.2. DD Forms Request Package. The forms request package shall include:

C3.2.2.1. A draft of the proposed new or revised form. (See section C4.2. for the forms design process.)

C3.2.2.2. A listing of required data elements to be used when designing the form, if applicable.

C3.2.2.3. A DD Form 67 completed through item 19. A sample of a completed DD Form 67 is at Figure C3.F3. Detailed instructions for completing DD Form 67 are provided in Figure C3.F4.

C3.2.2.4. A copy of the prescribing DoD document or issuance.

C3.2.2.5. A copy of printing specifications if mandatory.

C3.2.2.5.1. Most contract printers are able to print in any construction that meets user requirements. If a DD Form OPR 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 shall consult with the DoD Component printing procurement specialists to develop the printing specifications.

C3.2.2.5.2. If required, the mandatory printing specifications shall be included in the request package. Mandatory printing specifications for DD Forms shall be specified in either a written format or on DD Form 843, "Requisition for Printing and Binding Service;" DD Form 844, "Requisition for Local Duplicating Service;" SF 1, "Printing and Binding Requisition to the Public Printer;" SF 1-C, "Printing and Binding Requisition for Specialty Items;" or GPO Form 1026a, "Print Order for Marginally Punched Continuous Forms."

C3.2.3. DD Forms Request Procedures. A flow chart of the approval process is provided at Figure C3.F5.

C3.2.3.1. Originating DoD Component

C3.2.3.1.1. The OPR shall submit the form request to the sponsoring DoD Component FMO in accordance with Component procedures.

C3.2.3.1.2. 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 supporting documentation are complete and correct.

C3.2.3.1.3. If the request is not complete, correct, or properly coordinated, the DoD Component FMO shall return it to the OPR for appropriate action.

C3.2.3.1.4. 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 19 and forward the package to IMD.

C3.2.3.2. IMD. IMD shall:

C3.2.3.2.1. Review the forms request package to validate the need for the form and the appropriateness of both the form and the implementing document or issuance, and to ensure the DD Form 67 and supporting documentation are complete and correct.

C3.2.3.2.2. If the package does not provide sufficient justification for the request, or the request is not complete and properly coordinated, return the package to the Component FMO for Component OPR to take appropriate action.

C3.2.3.2.3. If the package is complete and accurate:

C3.2.3.2.3.1. Assign a draft form number and date, and ensure the design of the form is in compliance with References (p) and (r) if electronically generated. (See Chapter 4 for details on the form design process.)

C3.2.3.2.3.2. Notify the sponsor and using DoD Component FMOs of approval, providing each a copy of the approving DD Form 67.

C3.2.3.2.3.3. Upload the electronic version of the form to the DoD Forms Management Program Web Site for access by all FMOs and users. The DoD Forms Management Program Web Site is the single source of information for DD and SD Forms; therefore these forms shall not be duplicated on other DoD Component Web sites, intranets, or bulletin boards in accordance with Reference (j). A Component desiring to duplicate the form shall contact the form OPR, through the appropriate FMO, to receive permission to duplicate the form. This ensures protection from inappropriate manipulation and the currency and accuracy of DD Forms.

C3.2.3.2.3.4. If the form has mandatory printing specifications, provide a camera-ready copy of the approved form and the printing specifications to the using DoD Component FMOs identified in block 16 of the DD Form 67. The using DoD Components are responsible for printing and distributing the form.

#### C3.2.4. Test Forms

C3.2.4.1. A form that is tested for use in one or more DoD Component shall not carry the suffix "TEST" for more than 1 year. A form request package must be submitted as specified in C3.2.2. and procedures followed as summarized in C3.2.3. for the initial form.

C3.2.4.2. If there is a change to the form during the testing year, a DD Form 67 is not required. With each change, a copy of that form version shall be sent to IMD through the Component FMO. The form version shall be identified on the form as "V1" for version 1, "V2" for version 2, and shall be annotated with the form number (e.g., "DD Form 67 TEST (V2), OCT 2004").

C3.2.4.3. If testing requires more than 1 year, a request for extension shall be submitted by the OPR through the DoD Component FMO with justification for the extension and an anticipated test period completion date.

C3.2.4.4. Once testing is completed, a form request package shall be submitted as specified in C3.2.2. and procedures followed as summarized in C3.2.3. The suffix "TEST" and any version number shall be removed from the form.

#### C3.3. TRANSFER OF OPR

If form ownership transfers from one DoD Component to another, the gaining OPR shall prepare a memorandum to the losing OPR requesting responsibility. To complete the transfer, the losing OPR must concur in writing, through the DoD Component FMO and IMD, to the gaining OPR.

#### C3.4. DoD COMPONENT FORMS

Before a request is prepared to create a DoD Component form, the OPR 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 form OPR shall submit a completed DD Form 67 together with other supporting documentation to its DoD Component FMO in accordance with Component procedures and issuances. The DoD Component form shall be designed in compliance with References (p) and (r).



Figure C3.F1. Sample Completed SF 152,  
“Request for Clearance or Cancellation of a Standard or Optional Form”

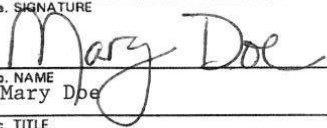
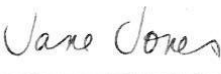
REQUEST FOR CLEARANCE OR CANCELLATION OF A STANDARD OR OPTIONAL FORM					
<b>INSTRUCTIONS:</b>					
<p>For all actions to Standard and Optional forms, complete and submit a separate set of clearance documents for each form (i.e., if one form is being cancelled and replaced with another form, submit two sets of documents; one set to cancel the old form and another set to establish the new form). Then forward along with the items listed below to:</p> <p style="margin-left: 40px;">General Services Administration (Forms-XR)                      1800 F Street, NW                      Washington, DC 20405</p>			<ol style="list-style-type: none"> <li>3. List of potential user agencies and the projected annual usage.</li> <li>4. Proposed implementing or cancelling regulation/directive (for standard forms) or status announcement (for optional forms).</li> <li>5. Printing specifications on Standard Form 1, or Standard Form 1C as appropriate.</li> <li>6. Any other appropriate documentation.</li> </ol>		
<ol style="list-style-type: none"> <li>1. Supporting statement describing the situation or problem which makes the initiation, revision, or cancellation of this form necessary and desirable.</li> <li>2. Copy of form for all requests except cancellations. This copy should be both electronic and paper unless composition is being requested.</li> </ol>			<p>If form will be used for public reporting (5 CFR 1320), include a copy of OMB Form 83, supporting documentation, and OMB clearance report. If form is an interagency report, include a copy of the approved Standard Form 360 and one set of supporting documents.</p>		
1. REQUESTING DEPARTMENT OR AGENCY		2. REQUESTING BUREAU OR OFFICE		3. DATE REQUEST INITIATED	
Department of Defense		Defense Security Service		3/1/2006	
4. TYPE OF ACTION (Check as applicable)					
<input type="checkbox"/> NEW		<input type="checkbox"/> OTHER (Specify below)			
<input checked="" type="checkbox"/> REVISION					
<input type="checkbox"/> CANCELLATION					
5. TYPE OF FORM (Check one)					
<input checked="" type="checkbox"/> STANDARD (SF)			<input type="checkbox"/> OPTIONAL (OF)		
6. PROPOSED FORM TITLE			7. PRESENT EDITION DATE	8. PROPOSED EDITION DATE	9. PRESENT SF OR OF NUMBER
Certificate Pertaining to Foreign Interest			7/2003	7/2006	SF 328
<input type="checkbox"/> TITLE REVISED (Check if applicable)					
10a. PROMULGATING REGULATION OR DIRECTIVE (Required for Standard Form Only)			10b. DATE OF REGULATION	11. OTHER CLEARANCES (Check only if applicable)	
DoD 5220.22M, National Industrial Security Program Operating Manual			1/1999	OMB NUMBER 704-124	EXPIRATION DATE 6/30/2007
				INTERAGENCY RPT. NO.	EXPIRATION DATE
13. RELATED STANDARD OR OPTIONAL FORMS					
14. OFFICIAL SUBMITTING REQUEST			15. AGENCY STANDARD AND OPTIONAL FORMS LIAISON REPRESENTATIVE		
a. SIGNATURE			a. SIGNATURE		
					
b. NAME			b. NAME		
Mary Doe			Jane Jones		
c. TITLE			c. TITLE		
Acting Deputy Director, Industrial Security					
d. TELEPHONE		e. DATE SIGNED		d. TELEPHONE	
AREA CODE	NUMBER	3/2/2006		AREA CODE	NUMBER
703	123-4567			703	123-4678
				e. DATE SIGNED	
				3/8/2006	
APPROVAL ACTION (GSA ONLY)					
16a. SIGNATURE OF CLEARANCE OFFICIAL				16c. DATE SIGNED	
16b. NAME OF CLEARANCE OFFICIAL					
17. FORM NUMBER ASSIGNED			18. FORM DATE		
AUTHORIZED FOR LOCAL REPRODUCTION PREVIOUS EDITION NOT USABLE			STANDARD FORM 152 (REV. 11-2000) Prescribed by GSA-FMR (41 CFR) 102-194		

Figure C3.F1., Cont'd. Sample Completed SF 152,  
 “Request for Clearance or Cancellation of a Standard or Optional Form”

STOCK EVALUATION (Complete for old stock of form revised on this request.)					
Obtain this information from GSA's Federal Supply Service (FSS), General Products Commodity Center, Fort Worth, TX and evaluate against importance of revision in blocks 25-28b. Note that units are EA (Each), HD (Hundred), BX (Box), and PG (Package)					
19. QUANTITY (OF UNITS) ON HAND AND DUE IN	20. MONTHLY DEMAND RATE	21. MONTHS OF STOCK (20 /21)	22. COST PER UNIT	23. ESTIMATED VALUE OF STOCK (20 x 23) \$0.00	24. DATE INFORMATION OBTAINED
STOCK DISPOSITION (Complete for revised or canceled forms.)					
25. FORM NUMBER	26. EDITION DATE	27. NATIONAL STOCK NUMBER OF FORM TO BE PHASED OUT OR MADE OBSOLETE	28. 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 in Item 41)					
PROCUREMENT AND STOCKING OF NEW OR REVISED FORM					
29. MANDATORY USE DATE 7/1/2006	30. NATIONAL STOCK NUMBER (If assigned)	31. UNIT OF ISSUE	32. ESTIMATED GOVT-WIDE USAGE (No. forms)		
			a. FIRST YEAR	b. SUCCEEDING YEARS	
33. USAGE TYPE (Check)					
<input checked="" type="checkbox"/> CONSTANT <input type="checkbox"/> STOCK IN GSA SUPPLY DISTRIBUTION FACILITIES <input type="checkbox"/> NO COST DISTRIBUTION (Give address in item 41) <input type="checkbox"/> LOCAL REPRODUCTION Full size illustration of form available: (Specify below)					
<input type="checkbox"/> VARIABLE (Specify in item 41) <input type="checkbox"/> FOR SALE TO THE PUBLIC BY SUPERINTENDENT OF DOCUMENTS <input type="checkbox"/> ACCOUNTABLE ITEM, RECORD ALL ISSUES OR SALES					
<input checked="" type="checkbox"/> OTHER (Explain in item 41)					
ATTACHMENTS AND DESCRIPTION (Check as applicable)					
35. PRINTING SPECIFICATIONS:			36. ARTWORK AND GUIDES ATTACHED		
<input type="checkbox"/> SF 1 (Pad or Cut Sheet) <input type="checkbox"/> OTHER (Specify below)			<input type="checkbox"/> PENCIL OR OTHER DRAFT <input type="checkbox"/> DUMMY		
<input type="checkbox"/> SF 1C (Unit Set)			<input type="checkbox"/> CAMERA COPY <input type="checkbox"/> SAMPLE		
<input type="checkbox"/> GPO 1025a (Marginally Punched)			<input type="checkbox"/> OTHER (Specify)		
S A M P L E					
PROOFS		SAMPLES (Enter this information on printing req. Lines b and c are for Agency use.)			
37. NUMBER OF PROOFS (Check one)	38. NUMBER OF DAYS PROOFS WILL BE HELD	39. SEND SPECIFIED NUMBER OF PRINTED FORM SAMPLES TO:			
<input checked="" type="checkbox"/> NONE (Camera copy furnished)		a. _____			
<input type="checkbox"/> NUMBER (Specify):		b. _____			
		c. _____			
40. ADDITIONAL REMARKS					
This form is available electronically on the DoD Forms Management Program web site, <a href="http://www.dtic.mil/whs/directives/infomgt/forms/formsprogram.htm">http://www.dtic.mil/whs/directives/infomgt/forms/formsprogram.htm</a> .					

Figure C3.F2. Approval Process for DoD-Sponsored SFs and OFs

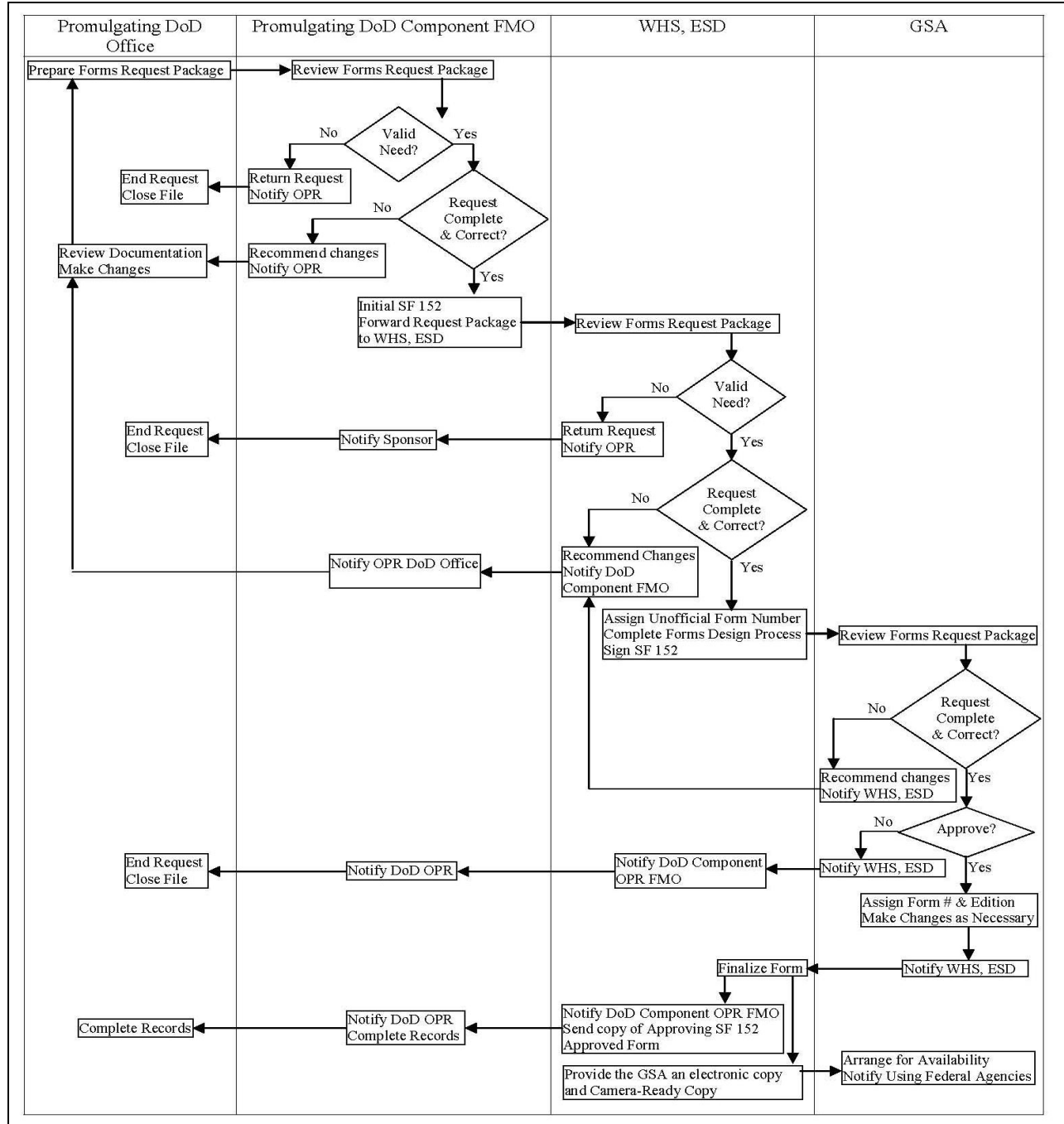


Figure C3.F3. Sample Completed DD Form 67, "Form Processing Action Request"

FORM PROCESSING ACTION REQUEST <i>(Read Instructions on back and in DoD 7750.07-M before completing this form.)</i>				1. DATE OF REQUEST (YYYYMMDD) 20080201	
2. FROM (DoD Component OPR Organization and complete mailing address) OUSD(P&R)(MPP)(Compensation) 4000 Defense Pentagon, Room 3C480 Washington, DC 20301-4000		3. THRU (DoD Component FMO Organization and complete mailing address) OUSD(P&R)(PI/PM) 4000 Defense Pentagon, Room 3C938 Washington, DC 20301-4000		4. TO (Organization and complete mailing address) WHS/ESD/IMD 1155 Defense Pentagon, Room 3C842 Washington, DC 20301-1155	
5. FORM DESIGNATION AND NUMBER <i>(Leave blank if a new form)</i> DD Form 3456		6. EDITION DATE <i>(Enter only if cancelling a form)</i>	7. FORM TITLE Benefit Election Certificate - By Existing Retiree		
8. ACTION TYPE <i>(Select one)</i> Revision	9. FORM TYPE <i>(Select one)</i> Prescribed	10. SUBJECT GROUP <i>(Leave blank if a new form)</i> 1332	11. PRESCRIBING ISSUANCE(S) DoDD 1332.7		
12. FORM DISPOSITION <i>(List all forms to be replaced by proposed form)</i>			13. PROPOSED FORM DESIGN CONSIDERATIONS		
a. FORM NUMBER <i>(Enter "N/A" if none)</i> DD Form 3456	b. EDITION DATE FEB 1997	c. DISPOSITION Obsolete	a. DESIGN TYPE Fill and Submit	b. SUGGESTED SIZE 8-1/2" x 11"	c. PRINTING SPECIFICATIONS No
			d. CLASSIFIED No	e. CONTROLLED FORM No	f. DIGITAL SIGNATURE FIELD Yes, enable e-sign
			g. AVAILABILITY <i>(Select one)</i> Electronic Form - DoD Forms Mgmt. Program web site		
14. PURPOSE AND DESCRIPTION OF USE <i>(Attach continuation page if necessary.)</i> This DD Form 3456 is used as an example for the DoD Forms Management Program Manual.					
S A M P L E					
15. INTERNAL COORDINATION AND CONCURRENCE					
	(1) APPLI-CABLE? <i>(Yes/No)</i>	(2) REMARKS <i>(Enter applicable remarks related to coordination, and attach appropriate documentation.) (If space permits, enter coordinator email address here.)</i>		(3) COORDINATOR	
a. PRIVACY ACT	Yes	SORN: DMDC 23		NAME	OFFICE SYMBOL
b. POSTAL	No			Jane Doe	WHS/ESD
c. DATA ELEMENTS	Yes	Field names attached		Robert Smith	WHS/ESD
d. RECORDS MGMT	Yes	RDS: 1805-03		Mary Anne Jones	OUSD(P&R)
e. OTHER	Yes	Legal Council		Ella Harrison	WHS/ESD
e. REPORTS				George Peterson	OUSD(P&R)
RCS	Yes	RCS: DD-P&R(A)192		Mitchell Williams	WHS/ESD
OMB	Yes	OMB: 0704-1234; 20100131		Mitchell Williams	WHS/ESD
16. EXTERNAL COORDINATION AND CONCURRENCE <i>(Not required for SD, DoD Component, or Command forms. Attach continuation page if necessary.)</i>					
a. DOD COMPONENT	b. COORDINATOR				
	NAME	OFFICE SYMBOL	TELEPHONE NO. <i>(Include area code/DSN)</i>	EMAIL ADDRESS	INITIALS
Army	LTC Lawrence	ASPQ-PMP	202-325-4321	raymond.lawrence@army.mil	
Navy	Meg Harrison	Code 191C7	703-695-1234	meg.harrison@navy.mil	
Marine Corps	William Mitchell	Code 9836	703-694-5432	william.mitchell@usmc.mil	
Air Force	SMSGT Ellen Roscoe	AF/DPPM	DSN 123-4567	ellen.roscoe@tinker.af.mil	
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.					
17. DOD COMPONENT OPR AND/OR ACTION OFFICER					
a. TYPED NAME AND TITLE Naomi Jeffery Program Analyst		b. TELEPHONE NUMBER <i>(Include area code/DSN)</i> 703-323-4545	c. SIGNATURE		
18. DOD COMPONENT APPROVING OFFICIAL			19. DOD COMPONENT OR COMMAND FORMS MANAGEMENT OFFICER		
a. DATE SIGNED <i>(YYYYMMDD)</i> 20080213	b. TYPED NAME, TITLE, AND SIGNATURE Wilfred C. Oxon Director		a. DATE SIGNED <i>(YYYYMMDD)</i> 20080213	b. TYPED NAME, TITLE, AND SIGNATURE William Wright OUSD(P&R) Forms Management Officer	
20. APPROVING FORMS MANAGEMENT OFFICER					
a. TYPED NAME		b. DATE SIGNED <i>(YYYYMMDD)</i>	c. SIGNATURE		

DD FORM 67, FEB 2008

PREVIOUS EDITION IS OBSOLETE.

Save Print Reset

Adobe Designer 7.0

Figure C3.F3., Cont'd. Sample Completed DD Form 67, "Form Processing Action Request"

<b>INSTRUCTIONS FOR COMPLETING DD FORM 67</b>	
<p>1. DATE OF REQUEST. As stated.</p> <p>2. FROM. As stated.</p> <p>3. THRU. As stated.</p> <p>4. TO. As stated</p> <p>5. FORM DESIGNATION AND NUMBER. Leave blank if new form. Enter form number if form is revised or proposed canceled, e.g. DD Form 67.</p> <p>6. EDITION DATE. As stated.</p> <p>7. FORM TITLE. Enter the title of the form exactly as it appears on the form. Do not use acronyms in the title. Do not use the word "form."</p> <p>8. ACTION TYPE. Select one:                      "New" - Proposed new form.                      "Revised" - Existing form being revised.                      "Cancellation" - Existing form being canceled.                      "Other" - Indicate whether the request is for a "Test," "Reinstatement," etc. Enter in item 14.</p> <p>9. FORM TYPE. Select one:                      "Prescribed" - form is prescribed for mandatory use by all DoD Components to whom the form applies in a DoD issuance.                      "Adopted" - form's use is optional by two or more DoD Components and is prescribed in a DoD Component issuance.</p> <p>10. SUBJECT GROUP. Leave blank if new form. Revised or proposed canceled form, enter subject group listed on the existing DD Form 67. The subject groups (major and subgroup) can be found on the DoD Issuance Web site, <a href="http://www.dtic.mil/whs/directives/index.html">http://www.dtic.mil/whs/directives/index.html</a>, the Issuance Process.</p> <p>11. PRESCRIBING ISSUANCE(S). Enter the document that prescribes the use of the form. If the form is adopted for use, enter the document number of each using Component.</p> <p>12. FORM DISPOSITION. Enter the form number and edition date of form(s) being replaced. Determine if the form(s) being replaced are used or obsolete. If "Use," indicate in item 14 how long used. If not applicable, enter "N/A" in 12.a.</p> <p>13. PROPOSED FORM DESIGN CONSIDERATIONS.</p> <p>a. Design Type. Select how the form should be designed for use:                      "Print and Fill" - To be printed and filled in by hand and mailed for submission.                      "Fill and Print" - To be filled in on-line and printed for submission.                      "Fill and Submit" - To be filled in and submitted on-line, perhaps by e-mail.                      "Fill, Submit, and Process" - Part of a system or workflow.                      "Physical Product" - Hardcopy output possibly by commercial printer for stocking, e.g. tags, labels.</p> <p>b. Suggested Size. Enter the suggested size for the form.</p> <p>c. Printing Specifications. Enter "Yes" if the form will be designed for commercial printing and attach the printing specifications.</p> <p>d. Classified. Select the appropriate drop-down choice.</p> <p>e. Controlled. Select the appropriate drop-down choice.</p> <p>f. Digital Signature Field. If Yes is selected, the signature fields will be enabled as digital signature fields.</p>	<p>13. PROPOSED FORM DESIGN CONSIDERATIONS <i>(Continued)</i>.</p> <p>g. Availability. Select the availability of the form to users:                      - Electronic Form - DoD Forms Management Program web site                      - Electronic Form - Distributed by OPR, no web.                      - Electronic Form - Distributed by FMOs for release, no web.                      - Electronic Form - Other, state in item 14.                      - Physical Product - Stocked by using DoD Components.                      - Physical Product - Stocked and issued by OPR.                      - Physical Product - Stocked by other, state in item 14.                      - Controlled Form - Availability stated in item 14.</p> <p>14. PURPOSE AND DESCRIPTION OF USE. State purpose and description of use. If canceled, state reason for cancellation. Other remarks may be entered here.</p> <p>15. INTERNAL COORDINATION AND CONCURRENCE. Component coordination of Component Program Manager for each program listed. Initials/coordination can be signed with a digital signature using a DoD CAC with a DoD Certificate for electronic submission or printed for handwritten initials.</p> <p>a. Privacy Act - If form collects personal identifiable information (PII), Privacy POC coordination is required. List the Systems of Records Notice Number and attach a copy. Also include a justification for collecting the PII.</p> <p>b. Postal. If form is used as a mailer or requires mail indicia, the DoD Component Postal Official coordination is required.</p> <p>c. Data Elements. If form is to be designed with specific data field names, attach list.</p> <p>d. Records Management. Coordinate with the Records Manager and enter the records disposition schedule under "Remarks".</p> <p>e. Other. If form requires coordination from an office not listed, identify here.</p> <p>f. Reports. If form is used as an instrument to collect information from subordinate commands within DoD Component, other DoD Components, from other Federal agencies, or from public, coordinate with the DoD Component Information Management Officer (IMCO). Enter the RCS and/or OMB number in the Remarks column.</p> <p>16. EXTERNAL COORDINATION AND CONCURRENCE. Obtain the coordination of each DoD Component expected to use the form or currently using the form.</p> <p>17. DOD COMPONENT OPR AND/OR ACTION OFFICER. Enter the appropriate information and signature for the action officer.</p> <p>18. DOD COMPONENT APPROVING OFFICIAL. Enter the appropriate information and signature of the DoD Component Approving Official. This official must be at the Division Director level or above.</p> <p>19. DOD COMPONENT OR COMMAND FORMS MANAGEMENT OFFICER. Enter appropriate information and signature of the DoD Component or Command FMO. The FMO signature certifies the DD Form 67 is correct and complete and recommends approval.</p> <p>20. APPROVING FORMS MANAGEMENT OFFICER. Enter the appropriate information for the FMO responsible for approving the form request. Leave blank on DD and SD Forms.</p>

DD FORM 67 (BACK), FEB 2008

Figure C3.F4. Instructions for Completing DD Form 67

These instructions detail the procedures for obtaining approval for the creation, revision, or cancellation of a DD Form, SD Form, or DoD Component or command form. Use of the DD Form 67 to document forms processing procedures is mandatory for all DoD agencies.

ITEM NUMBER	INSTRUCTIONS
1. DATE OF REQUEST	Enter the date of the form request. Format: YYYYMMDD.
2. FROM	Enter the complete mailing address of the DoD Component OPR. Authorized abbreviations may be used.
3. THRU	If the request is for a DD Form, enter the complete mailing address of the approving DoD Component FMO.
4. TO	If the request is for a DD or SD form, enter the address of WHS(ESD/IMD). If the request is for other than a DD or SD Form, enter the organization and address of the approving DoD Component FMO.
5. FORM DESIGNATION AND NUMBER	Leave this blank if a new form. For a revised form or proposed cancellation, enter the number of the existing form (e.g., DD Form 398-2).
6. EDITION DATE	Enter only when canceling a form; otherwise, leave blank. The FMO enters the date for all requests for new or revised forms. Format: MMM YYYY.
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 it appears in the title on the form. Do not use the word "Form" in the title.
8. ACTION TYPE	Drop-down selections: New, Revised, Cancellation, or Other. Select the appropriate item to indicate whether the request is for a new (creation), revision, or cancellation of a form. Use the "Other" selection to indicate whether the request is for a "Test," "Reinstatement," etc. Enter "Other" selection type in block 14.
9. FORM TYPE	Drop-down selections: Prescribed or Adopted. Select the appropriate item to indicate whether the form is "Prescribed" or "Adopted." "Prescribed" indicates the form is prescribed for mandatory use by all DoD Components to whom the form applies in a DoD document or issuance. "Adopted" indicates form use is optional by two or more DoD Components and is prescribed in a DoD Component document or issuance.
10. SUBJECT CODE	Leave blank if a NEW form. For a revised or obsolete form, enter the subject group listed on the existing DD Form 67. WHS(ESD/IMD) will assign a four-digit number representing a major subject group and its subgroup for each new form from the list of Major Subject Groups provided on the DoD Issuances Web Site at <a href="http://www.dtic.mil/whs/directives/index.html">http://www.dtic.mil/whs/directives/index.html</a> .
11. PRESCRIBING DOCUMENT OR ISSUANCE(S)	Enter the number of the document or issuance that prescribes the use of the form. If the form is adopted for use by more than one DoD Component, enter the document or issuance number of EACH using Component's prescribing document or issuance. If a prescribing issuance is a Directive-Type Memorandum, it shall be converted into a DoD Directive or DoD Instruction within 180 days, as specified in Reference (c).
12. FORM DISPOSITION	Drop-down selections: Blank field, Use, or Obsolete. Enter the form number and edition date of all existing forms to be replaced by the proposed form. If the proposed form is a revision or consolidation, indicate whether existing stock may be used or is obsolete. If "Use" is selected, indicate in block 14 how long the existing form can be used. If the request is for a new, not a consolidation or cancellation, enter "N/A."

Figure C3.F4., Cont'd. Instructions for Completing DD Form 67

ITEM NUMBER	INSTRUCTIONS
13. PROPOSED FORM DESIGN CONSIDERATIONS	
a. Design Type	<p>Select whether the form will be designed for one of the following drop-down selections.</p> <ul style="list-style-type: none"> <li>• Print and Fill. Form will be printed out and filled in by typewriter or by hand and mailed for submission.</li> <li>• Fill and Print. Form will be filled in on-line and printed for submission.</li> <li>• Fill and Submit. Form will be filled in and submitted on-line.</li> <li>• Fill, Submit, and Process. Form is part of a workflow process.</li> <li>• Physical Product.</li> </ul>
b. Suggested Size	Enter suggested size of the form. The standard size for forms is 8-1/2 x 11 inches. Unusual sizes are often for a postcard, self-mailer, etc.
c. Printing Specifications	Drop-down selection: No or Yes, attached. If “No,” the form will be designed and made available electronically unless indicated otherwise in 13.h. If “Yes, attached,” the form will be designed as a physical product. Attach mandatory print specifications that will require printing by a printer such as GPO (e.g., DD Form 1577, “Unserviceable (Condemned) Tag - Materiel.”) If a form has mandatory printing specifications, deviation from these specifications require a written request for exception, through WHS(ESD/IMD, to the form OPR for approval.
d. Classified	Drop-down selection: No, When blank, or When filled in. Selecting “When blank” or “When filled in” indicates the requester and the user of the form are responsible for ensuring the form contains the required markings and the security guidelines of Reference (h) are complied with during the life cycle of the form. Selecting “No” indicates the form is not classified and there is no need for security controls.
e. Controlled	Drop-down selection: No, Safeguarded, or Serially numbered. Selecting either “Safeguarded” or “Serially Numbered” 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 issuing, printing, shipping, etc. Prenumbering a form does not always make it a controlled form; the form may be numbered to control an item such as baggage and dry cleaning.
f. Digital Signature Field	Drop-down selection: No or Yes, enable e-sign. If “Yes,” the Signature fields on the form will be enabled as electronic signature fields.
g. Availability	<p>Drop-down selection: Select the availability of the form to users.</p> <ul style="list-style-type: none"> <li>• Electronic Form – DoD Forms Management Program Web Site.</li> <li>• Electronic Form – Distributed by OPR, no Web.</li> <li>• Electronic Form – Distributed by FMOs for release, no Web.</li> <li>• Electronic Form – Other, state in block 14.</li> <li>• Physical Product – Stocked by using DoD Components.</li> <li>• Physical Product – Stocked and issued by OPR.</li> <li>• Physical Product – Stocked by other, state in block 14.</li> <li>• Controlled Form – Availability stated in block 14.</li> </ul>

Figure C3.F4., Cont'd. Instructions for Completing DD Form 67

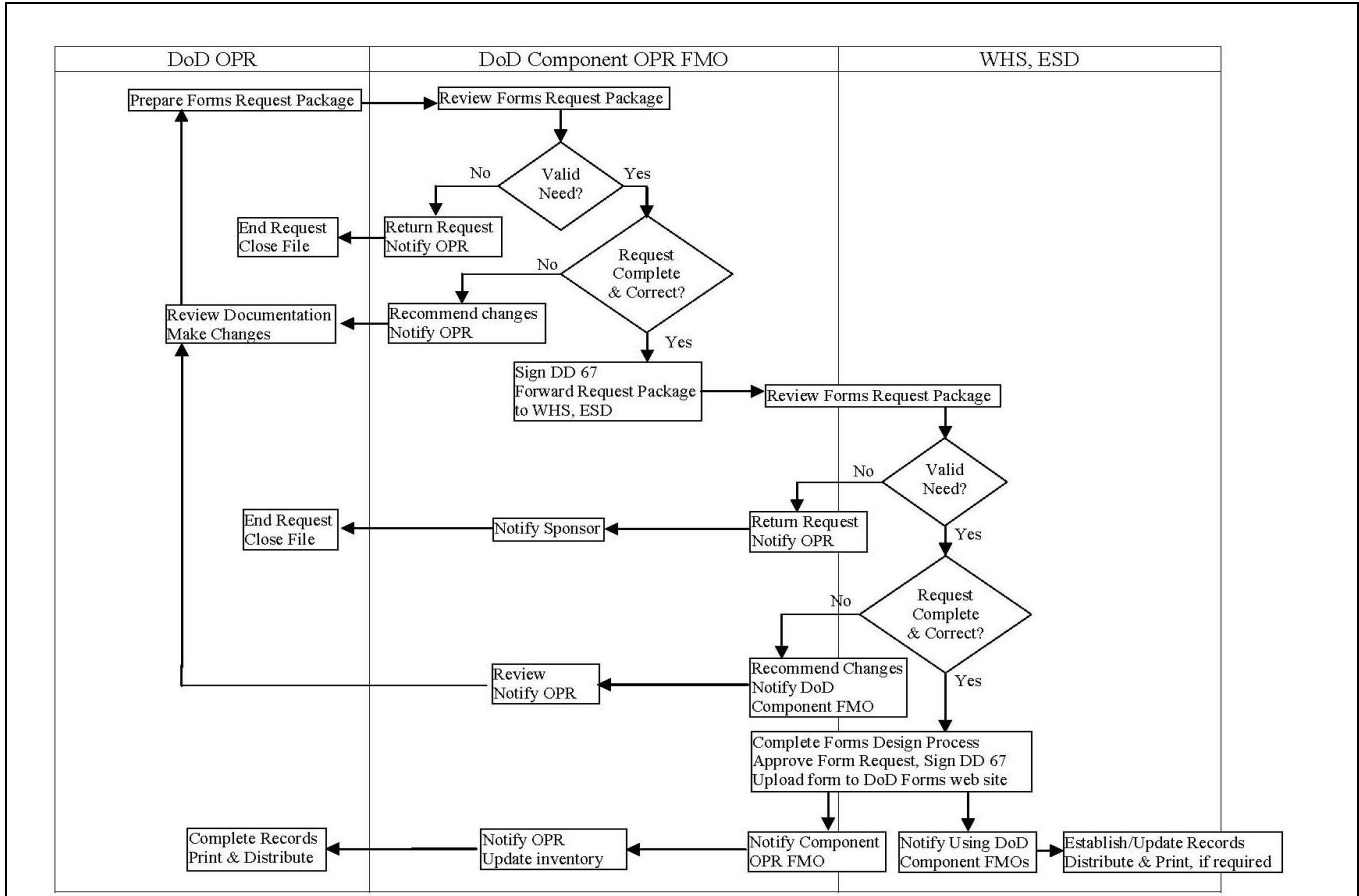
ITEM NUMBER	INSTRUCTIONS
14. PURPOSE AND DESCRIPTION OF USE (Additional Remarks)	State the purpose and a description of the form's use as identified in the prescribing document or issuance. If the form is to be canceled, state the reason for the cancellation. If the action is for a new or revised form, the description should be detailed enough to inform the reader whether he or she has a use or need for the form. Based on the description in this block, the reader should be able to make this decision without ever seeing the form. Make sure the description answers the "who, what, why, where, when, etc.," of the form. Include other remarks in this block.
15. 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 determines applicability, includes any remarks as determined below, enters his or her name, office symbol, telephone number, and initials on the form. If coordination is obtained by e-mail, provide a copy of that e-mail. If coordination is obtained by telephone, the OPR must enter his or her own initials to certify that the coordination was done. If a form revision is administrative only, such as a change to an OMB Control Number expiration date, written notification must be provided to change the expiration date and form edition date; a DD Form 67 will not be required. Written notification for administrative changes is, however, only acceptable within 3 years since the last revision; if 3 years have passed, the request requires a coordinated DD Form 67. Initials can be handwritten or, for electronic submissions, entered using a digital signature with the DoD Common Access Card (CAC) and a DoD Certificate.
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 Reference (g) apply. Complete block 15.a. indicating whether the Privacy Act is applicable by selecting either "Yes" or "No." If "Yes," contact the DoD Component privacy POC for coordination. Enter the Systems of Records Notice obtained from the privacy POC in block 15.a.(2), "Remarks," and attach a copy.
b. Postal	If the form is used as any type of mailer, Reference (v) applies. Complete block 15.b. indicating whether USPS requirements are applicable by selecting either "Yes" or "No." If "Yes," contact the DoD Component Official Mail Manager for coordination. Enter the type of mail (e.g., business reply mail, postcard) under "Remarks."
c. Data Elements	All forms requests require coordination with the DoD Component data administration POC. Reference (s) applies. Complete block 15.c. indicating whether data elements are applicable by selecting "Yes" or "No." Include "Remarks" if necessary. The DoD Component data administration POC information identified above and coordination is entered.
d. Records Management	All forms requests require coordination with the DoD Component Records Manager. Enter the records disposition schedule under "Remarks."
e. Other	If the form requires coordination with an office not provided on the DD Form 67, include the POC information identified in the instructions for item 15 in this block (e.g., Legal Counsel).
f. Reports	Forms used as instruments to collect information from subordinate commands within a DoD Component, other DoD Components, other Federal agencies, or the public must display the appropriate report control data and be controlled as instruments to collect information. Reference (u) applies. Coordinate block 15.e. with the DoD Component IMCO, providing the information requested.



Figure C3.F4., Cont'd. Instructions for Completing DD Form 67

ITEM NUMBER	INSTRUCTIONS
16. EXTERNAL COORDINATION AND CONCURRENCE	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 the listed items. External coordination and concurrence is not required for SD Forms or for DoD Component or command forms. Initials can be handwritten or, for electronic submissions, entered using a digital signature with the DoD CAC and a DoD Certificate.
CERTIFICATION OF DoD COMPONENT OPR AND/OR ACTION OFFICER, APPROVING OFFICIAL, AND FMO	Enter signatures in blocks 17, 18, and 19 to certify that all of the above coordination has been completed as indicated.
17. DoD COMPONENT OPR AND/OR ACTION OFFICER	Enter the typed name, telephone, and signature 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 information about the purpose and use of the form. DO NOT enter the name and contact information of the DoD Component FMO.
18. DoD COMPONENT APPROVING OFFICIAL	Enter the date, typed name, title, and signature of the DoD Component approving official. This official must be at the Division Director level or above for DD and SD Form and DoD Component forms and is normally the approving official for the respective prescribing directive for the form.
19. DoD COMPONENT OR COMMAND FMO	Enter the date, typed name, title, and signature of the DoD Component or command FMO. This signature also certifies the FMO has reviewed the DD Form 67, that it is correct and complete, and that he or she recommends approval by the approving FMO.
20. APPROVING FMO	Leave blank on DD and SD Forms processing requests. For DoD Component or command forms, the respective FMO is the approving authority. Enter the typed name, date, and signature of the FMO responsible for approving the form-processing request. Return all disapproved requests through the appropriate chain of command, with an accompanying memo explaining the reason for the disapproval.
BUTTONS ON BOTTOM OF FORM:	Save – Allows you to save the form. Print – Allows you to print the form. Reset – Removes all data previously completed and provides a blank form.

Figure C3.F5. Approval Process for DoD Forms



## C4. CHAPTER 4

### DESIGN OF FORMS

#### C4.1. 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 superior visual appearance. To assist in the design of forms, the guidelines in Reference (k) have been adopted for Federal forms design and analysis.

C4.1.1. DoD Design Guidelines. This Manual establishes specific guidelines for the design, analysis, and typography of DoD forms. These guidelines shall be applied to all DoD forms (e.g., DD Forms, DoD Component forms). Use the following design guidelines in preparing DoD forms. A waiver may be granted when a special requirement or the functional use of the form precludes the use of these standards.

##### C4.1.1.1. Form Size

C4.1.1.1.1. If printed, forms shall be designed to 8.5 x 11 inches.

C4.1.1.1.2. Postcard forms shall measure a minimum of 3.5 x 5 inches and a maximum of 4-1/4 x 6 inches.

C4.1.1.1.3. Two-page forms are not required to be printed front and back unless required by the OPR.

##### C4.1.1.2. Form Borders/Margins

C4.1.1.2.1. With the exception of certificates, tags, and labels, the entire body of a form shall be enclosed in a lined border.

C4.1.1.2.2. Use a 1.5 point or 1/48 inch solid border for all four sides.

C4.1.1.2.3. Unless the form has special requirements, use .5 inch page margins.

C4.1.1.2.4. Use 1 point or 1/72 inch solid lines for dividing primary sections.

C4.1.1.2.5. Use hairline type for lines within sections.

##### C4.1.1.3. Form Layout

C4.1.1.3.1. Forms shall be designed in box style with fillable fields having upper-left captions.

C4.1.1.3.2. Lay-out and number items in sequential order of fill-in. Numbers shall be in the upper-left corner immediately before the box caption.

C4.1.1.3.3. Group common items together on the form. Sections may be used. If several data elements pertain to the same area, individual, etc., use a section. The section title shall be set flush-left margin.

C4.1.1.3.4. In accordance with Reference (k), the National Archives and Records Administration (NARA) requires a separate field or block from the signature field for the signer's printed or typed name.

C4.1.1.3.5. All mailers or self-mailers must conform to current USPS regulations (e.g., forms requiring window envelopes, labels).

#### C4.1.1.4. Form Font Styles

C4.1.1.4.1. Text fonts are Arial for captions and Times New Roman 10-point for fillers. (See Figure C4.F1. for caption font size.)

C4.1.1.4.2. Use comparable italic (optional) for words, phrases, or instructions in parentheses.

Figure C4.F1. Font Styles for DoD Forms

FORM PART	FONT SIZE	LETTER CASING
Form Title	10 point	Uppercase
Agency Disclosure Statement	8 point	Upper and lowercase
PAS with words AUTHORITY, PRINCIPLE PURPOSE, ROUTINE USES, and DISCLOSURE	8 point 8 point bold	Upper and lowercase Uppercase
Section Titles	8 point bold	Uppercase
Captions	8 point	Uppercase
Form Number and Edition Date	10 point bold	Uppercase
Supersession Notice	8 point	Uppercase

#### C4.1.1.5. Form Title, Number, and Date

C4.1.1.5.1. Form Title. If possible, place the title at the top or top left of the form, centered, inside the border. Ensure the title is brief, specific, and meaningful. Eliminate any unnecessary words, such as "form" or "label." If the form does not have a standard margin, place the title, form number, and edition date in the most logical place.

#### C4.1.1.5.2. Form Number and Date on the First Page

C4.1.1.5.2.1. Place the form number and edition date at the bottom left margin, outside the border.

C4.1.1.5.2.2. Show the form designation in full capital letters to indicate the scope of use for the form (e.g., “DD,” “DoD COMPONENT,” “COMMAND,” or “INSTALLATION”). (See Figures DL.1. and DL.2.)

C4.1.1.5.2.3. Place the word “Form” following the form designation, followed by the form number (e.g., DD Form 67). Form numbers are assigned sequentially as new forms are created. Previously assigned form numbers are not reused.

C4.1.1.5.2.4. Display the edition date, which consists of the month and year the edition of the form is approved, as “MMM YYYY,” using all uppercase letters for the month and the 4-digit year (e.g., “MAR 2005”). Place it in the lower left corner immediately following the form number.

C4.1.1.5.3. Form Number and Date on the Second Page. If the form is to be printed front and back and stocked in paper, put the word “(Back)” after the edition date on the second page (e.g., “DD Form XXXX, MAR 2006 (Back)”). If form is in electronic media only, use “Page \_\_\_ of \_\_\_” on the bottom right corner of the form.

#### C4.1.1.6. Suffixes Used in the Form Numbering

C4.1.1.6.1. Numeric suffixes added to the DD Form number show the form series.

C4.1.1.6.1.1. Add a “-1” for forms that are first in a series of related forms (e.g., DD Form XXXX-1, XXXX-2).

C4.1.1.6.1.2. Add a “/1” for forms that are first in a series of pages associated with a form (e.g., DD Form XXXX/1, XXXX/2).

C4.1.1.6.2. Other suffixes added to the DD Form number indicate the following.

C4.1.1.6.2.1. Add the suffix “C” for continuation sheets (e.g., DD Form 67C).

C4.1.1.6.2.2. Add the suffix “INST” for instruction pages included with the form.

C4.1.1.6.2.3. Add the suffix “S” for stock.

C4.1.1.6.2.4. Add the suffix “TEST” for test forms.

C4.1.1.6.2.5. Add the suffix “WS” for worksheet.

C4.1.1.7. Supersession Notice. Center the supersession notice at the bottom of the form outside the border. Standard supersession notices used on forms include:

C4.1.1.7.1. PREVIOUS EDITIONS ARE OBSOLETE.

C4.1.1.7.2. PREVIOUS EDITIONS WILL BE USED.

C4.1.1.7.3. REPLACES DA FORM 1234, WHICH IS OBSOLETE.

C4.1.1.8. Software Designation. The name and the producer and/or vendor of the software used to create the electronic form is shown in the lower right corner on the first page of the form. Form users need a way to identify electronic versions of forms from printed versions or camera copies, as well as to identify the quality and accuracy of the software.

C4.1.1.9. Report Control Number and Expiration Date. The OMB Control Number and its expiration date must be displayed on forms that are used to collect information from the public. Forms that are used as instruments of collection for internal information must be designed with a block for entering the RCS Number.

C4.1.1.9.1. Forms that are used to collect internal information must be designed to display the RCS 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 block for entering the RCS number shall be placed immediately below the OMB control number block.

C4.1.1.9.2. The OMB Control Number and expiration date are considered part of the approved form and 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) may be overprinted before the form is distributed.

C4.1.1.9.3. An Agency Disclosure Notice (ADN) must be displayed on all forms that 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. In accordance with Reference (u), the ADN used by the Department of Defense is as follows:

“PLEASE DO NOT RETURN YOUR FORM TO THE ORGANIZATION LISTED BELOW. RETURN COMPLETED FORM TO ...

The public reporting burden for this collection of information is estimated to average XX 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 the burden, to the Department of Defense, Washington Headquarters Services, Executive Services Directorate, Information Management Division (XXXX-XXXX). Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to any penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number.”

C4.1.1.10. PAS. If a PAS is required, it shall be displayed in one of the following ways.

C4.1.1.10.1. On the face of the form immediately below the title. If the form has an ADN, place the PAS immediately below it.

C4.1.1.10.2. On the back of the form with the notation, “Please read the Privacy Act Statement on back before completing the form,” located immediately below the title of the form.

C4.1.1.10.3. 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 separated Privacy Act Statement.”

C4.1.1.10.4. 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.

C4.1.1.11. Instructions. Placement of instructions should be consistent on the entire form.

C4.1.1.11.1. If the instructions are brief, they can be included in individual captioned boxes, in parentheses after the block/caption title.

C4.1.1.11.2. Instructions can be added using the Field Help or Tool Tips provided by electronic forms software to assist users to fill out forms quickly and accurately.

C4.1.1.11.3. 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 DoD document or issuance with appropriate cross references made on the form.

C4.1.1.12. Abbreviations and Acronyms. Spell out abbreviations and acronyms the first time they are used and follow with the abbreviation or acronym in parentheses. After that, use only the abbreviation or acronym. Exceptions may be given; for example, for “Social Security Number,” use “SSN.”

C4.1.1.13. Using Illustrations or Graphics on a Form. The use of decorative illustrations or graphics, including official logos, is prohibited. The illustration or graphic may be used only if it serves a functional purpose.

C4.1.1.14. Fillable Fields

C4.1.1.14.1. Field Names. If a form has an associated database, the data elements provided by the OPR should be used. Do not start or end a field with a number. Do not use spaces or special characters, punctuation marks, or symbols.

C4.1.1.14.2. Formatting Field Names. The number of characters in a field should be fixed in accordance with established data standards (Reference (s)) or as provided by the OPR. Data fields should be consistent across all forms. Examples follow.

C4.1.1.14.2.1. The date field should be formatted as the 4-digit year, 2-digit month, and 2-digit day, “YYYYMMDD,” and an 8-character fixed field length.

C4.1.1.14.2.2. The Social Security Number field should be a numeric fixed field, 11 characters in length, formatted as “NNN-NN-NNNN.”

C4.1.1.14.2.3. Addresses may be created as separate items for each component (e.g., street, city, state, ZIP code). Data entry shall be database-friendly.

C4.1.1.14.3. Signature Fields. NARA requires a separate block or field for the signer’s typed name.

C4.1.1.15. Testing Electronic Forms. The form designer, DoD Component FMO, and OPR shall test completed form designs before forms are released to ensure they are functioning correctly.

C4.1.1.16. Accessibility. To accommodate all users, including those with disabilities, forms should be designed to be simple and usable, with meaningful captions and clear and concise instructions.

C4.1.1.17. Locking Final Forms. Final electronic forms are locked by the forms designer so that the information collected is in the format and sequence specified by the OPR who is the recipient of information.

C4.1.2. DoD Component Design Guidelines. The DoD Components may supplement the guidelines in Reference (k) and these DoD design guidelines for the design, analysis, and typography of their DoD Component forms. All supplements require IMD approval.

## C4.2. DESIGN PROCESS

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

### C4.2.1. SFs and OFs

#### C4.2.1.1. General

C4.2.1.1.1. The Department of Defense shall participate in the design of the SFs and OFs that it sponsors. The design of an SF or OF must conform to the forms design guidelines described in Reference (k).

C4.2.1.1.2. 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 IMD together with a completed SF 152 and supporting documentation. GSA has final approval authority for the form (parts 102-194.10 and 102-194.15 of Reference (e)).

C4.2.1.1.3. IMD shall design all DoD-sponsored SF and OF forms.



#### C4.2.1.2. Drafting the Form

C4.2.1.2.1. The form OPR shall work with the Component FMO to produce a draft of the proposed new or revised form. The draft may be anything from a sketch of the layout to a pen and ink annotation or detailed e-mail explaining changes on an existing form. The initial draft shall be submitted through the DoD Component FMO to IMD for review.

C4.2.1.2.2. IMD shall produce a draft version of the form, making changes to incorporate design standards. The form shall be identified in the lower left corner as a draft with the draft date next to the form number. The draft date will change with each iteration to aid in tracking the form throughout the design process. IMD shall return the draft form through the DoD Component FMO to the DoD Component OPR for review and acceptance.

C4.2.1.2.2.1. If the DoD Component OPR makes substantial changes to the draft, the OPR shall send an e-mail detailing the changes, or a paper copy marked-up in red, through the DoD Component FMO to IMD. After changes are made, a new draft date will be assigned and the form forwarded to the OPR for acceptance. This process continues until the OPR has resolved all issues regarding the form design and accepts the design as final.

C4.2.1.2.2.2. If only minor changes are required on the draft form, the OPR may accept the form with the changes noted. The OPR shall send the DoD Component FMO either an e-mail stating the artwork is accepted with a description of the minor changes, or a marked-up form that reflects the desired changes. The OPR should write "Artwork Accepted as Annotated" on the mark-up, and sign and date the back of each page of the draft form. The DoD Component FMO shall forward the form to IMD for finalizing. This procedure precludes the necessity of creating additional draft versions.

C4.2.1.2.2.3. If the DoD Component OPR accepts the draft with no changes, the OPR shall send the DoD Component FMO either an e-mail stating the artwork is accepted, or a paper copy with "ARTWORK ACCEPTED" written on the form and the back of each page dated and signed.

C4.2.1.2.3. After the DoD Component FMO forwards the acceptance of the artwork to IMD, IMD shall finalize the draft and forward it to GSA as part of the forms request package.

#### C4.2.1.3. Form Approval or Disapproval

C4.2.1.3.1. GSA shall verify that the request contains all of the appropriate information. GSA shall review the form for design, flow, and clarity for automation. GSA shall also ensure that form approval will not result in duplication of forms or collection of data elements.

C4.2.1.3.2. If the form is approved, GSA shall sign the SF 152 assigning a form number and edition date.

C4.2.1.3.3. If the form is not approved, GSA shall return the package to IMD.

C4.2.1.3.4. IMD shall notify the DoD Component FMO of the GSA determination. IMD shall send camera-ready copies of approved forms to GSA for printing and stocking in the FSS Supply Depots. IMD shall send electronic copies to GSA for uploading to the GSA Forms Library.

#### C4.2.2. DD Forms

C4.2.2.1. General. IMD shall design all DD Forms. A flowchart of the forms design process at Figure C4.F2.

#### C4.2.2.2. Drafting the Form

C4.2.2.2.1. The form OPR shall work with the Component 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, a detailed e-mail explaining changes on an existing form, or other appropriate descriptive method. The initial draft, together with a completed DD Form 67 and a copy of the prescribing document or issuance, shall be submitted through the DoD Component FMO to IMD for review, design, and approval.

C4.2.2.2.2. IMD shall produce a draft version of the form. 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 will change with each iteration to aid in tracking the form throughout the design process. IMD shall return the draft form, through the DoD Component FMO, to the DoD Component OPR for review and acceptance.

C4.2.2.2.2.1. If the DoD Component OPR makes substantial changes to the draft, the OPR shall send an e-mail detailing the changes, or a paper copy marked-up in red, through the DoD Component FMO to IMD. After changes are made, a new draft date will be assigned and the form forwarded through the DoD Component FMO to the OPR for acceptance. This process continues until the OPR has resolved all issues regarding the form design and accepts the design as final.

C4.2.2.2.2.2. If only minor changes are required on the draft form, the OPR may accept the form with the changes noted. The OPR shall send the DoD Component FMO either an e-mail stating the artwork is accepted with a description of the minor changes, or a marked-up form that reflects the desired changes. The OPR should write "Artwork Accepted as Annotated" on the mark-up, and sign and date the back of each page of the draft form. This procedure precludes the necessity of creating additional draft versions.

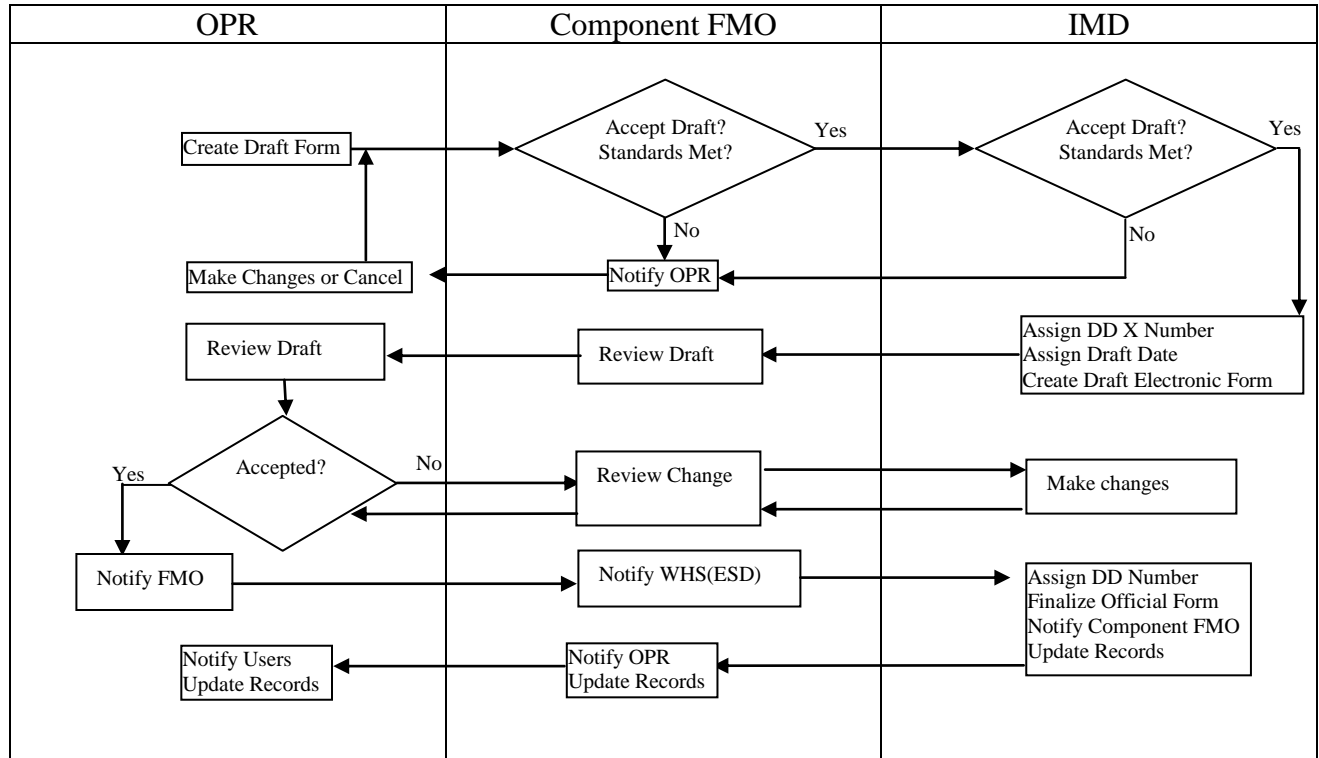
C4.2.2.2.2.3. If the DoD Component OPR accepts the draft with no changes, the OPR shall send the DoD Component FMO either an e-mail stating the artwork is accepted, or write "ARTWORK ACCEPTED" written on the form and the back of each page dated and signed.

C4.2.2.3. Form Approval and Publication. After the DoD Component FMO forwards the acceptance of the artwork to IMD, IMD shall finalize the artwork and assign a form number and edition date. If the form is a printed item, IMD shall forward camera-ready copies of the finalized form to the using DoD Component FMOs for printing and distribution. If approved for

electronic generation, IMD shall load information regarding the form to the DoD Forms Management Program Web Site.

C4.3. DoD Component Forms. The procedures for designing DoD Component forms are defined by the DoD Component FMO.

Figure C4.F2. DD Forms Design Process



## C5. CHAPTER 5

### EXCEPTIONS TO FORMS

#### C5.1. GENERAL

Exceptions are approved deviations from the normal, prescribed usage of a form. All SFs, OFs, and DD Forms must be used as prescribed unless the user has obtained an exception to do otherwise from the promulgating Federal agency for SFs and OFs, and for DD Forms from the DoD Component FMO that is the OPR for the form. Standardized exception requests shall be made at the Component level.

C5.1.1. Types of Exceptions. An exception may be for a change to the content, format, or printing of a form, or for the use of the content of the form in an electronic data interchange format if the form is not authorized for electronic generation. See paragraph DL11. for detailed definitions of the types of exceptions.

#### C5.1.2. Applicability of Exceptions

C5.1.2.1. Any DoD Component may use an approved DoD exception for SFs and OFs. An exception to a DD Form can only be used by the requesting DoD Component. WHS(ESD) shall maintain the inventory and records of all approved DoD exceptions and shall periodically distribute and upon request provide the inventory to the DoD Component FMOs.

C5.1.2.2. Approved exceptions are identified by the following statements on the first page, below or near the form number.

C5.1.2.2.1. For SFs and OFs: “DoD Exception to (form number) approved by (promulgating Federal agency) Month, Year (MMM, YYYY).”

C5.1.2.2.2. For DD Forms: “(Component to whom exception was granted) Exception to (form number) approved by WHS(ESD) Year, Month, Day (YYYYMMDD),” e.g., “Department of the Army Exception to DD Form 67 approved by WHS(ESD) 20041101.”

C5.1.2.3. An overprint as defined in paragraph DL24. does not change the information collected on a form and therefore is not an exception. If overprinting does change the content or format of a form, it is an exception, NOT an overprint, and requires exception approval. All overprints must be approved by the DoD Component FMO that is the OPR for the form. Users shall request approval through their Component FMO. Upon approval, the user will enter following statement in the bottom right-hand corner of the overprinted form: “DoD Component overprint, YYYYMMDD” (e.g., “ASD(NII)/DoD CIO overprint, 20070208”).

### C5.1.3. Longevity of Exceptions

#### C5.1.3.1. Content and Format Exceptions

C5.1.3.1.1. Content and format exceptions, including electronic form exceptions, become void when the affected SF, OF, or DD Form is revised or canceled by the promulgating Federal agency or DoD Component OPR. These exceptions also become void if there are changes to the approved exception.

C5.1.3.1.2. If an SF or OF is revised and an exception is still needed, including an electronic form exception, justification in writing shall be sent to the promulgating Federal agency within 60 workdays after the revision. The justification shall be sent through the DoD Component FMO to the DoD SF and OF Liaison Representative for forwarding to the promulgating Federal agency. If a DD Form is revised and an exception is still needed, a justification in writing shall be sent through the DoD Component FMO to IMD for forwarding to Component FMO that is the OPR for the form.

#### C5.1.3.2. Printing Exceptions

C5.1.3.2.1. Printing exceptions become void when the affected SF, OF, or DD Form is canceled, when a suitable form meeting user needs is stocked by the authorized distribution facility, or when the form is revised.

C5.1.3.2.2. When an SF or OF is revised, the existing printing exceptions may still be used if the user reconfirms the continued need for the exception and the newly revised form is not available in a usable construction. The using DoD Components must notify IMD, who shall notify GSA, that the exception(s) remain(s) valid and usable with the new edition of the form.

### C5.2. FORMS AUTHORIZED FOR ELECTRONIC USE.

C5.2.1. A form may be electronically generated without exception approval provided it has been approved for electronic generation and complies with DoD forms management policy and Reference (k). Forms NOT approved for electronic generation may NOT be created without exception approval.

C5.2.2. All generations of electronic forms in a different software or format other than the official electronic form must be approved by the DoD Component FMO that is the OPR for the form. All electronic versions of an official electronic DD Form shall be approved provided the following conditions are met:

C5.2.2.1. The form is authorized for electronic use without any stipulations; all electronic versions of the form are approved; and the content, format, and sequencing of the electronic version is consistent with the current approved edition.

C5.2.2.2. The form is authorized for electronic use with special conditions or stipulations; the special conditions or stipulations are maintained; and the content, format, and sequencing of the form is consistent with the current approved edition.

C5.2.3. Users shall request approval to generate a different version of an electronic form through their Component FMO. Prior to initiating the request the requester must ensure that the official form is approved for electronic generation. For DoD forms, the requester should consult the DoD Forms Management Program Web Site, which provides an inventory of DoD forms, information pertaining to each form, and access to electronic forms. If there is not an electronic form hyperlink on the Web site, the form is not available online or is not approved for electronic generation. For SFs and OFs, the requester should review the section titled “What Standard and Optional Forms Cannot be Automated/Electronically Generated?” in Appendix A of Reference (k).

C5.2.4. If the form is approved for electronic generation, the requester shall contact IMD to inquire whether the form has been automated by another DoD Component in the desired software, or for SFs and OFs, has been automated by another Federal agency. If the form has been automated, IMD shall provide a copy to the requester.

C5.2.5. If the form is approved for electronic generation and has not been automated in the desired software, the requester shall seek approval to automate the form through his or her Component FMO.

C5.2.5.1. When creating an electronic version, the DoD Component shall be responsible for ensuring compliance with References (f) and (u) by displaying the OMB Control Number and expiration date, the ADN, and the PAS, as appropriate, on the form.

C5.2.5.2. The electronic duplication of the form must replicate to the highest degree possible the contents (wording), format (layout), and sequence (arrangement) of the official form (shall be a “mirror-like image” as defined in DL16). ANY variation in content, format, or sequencing must be approved as a content and/or format exception to the form. The accuracy of the electronic form is the responsibility of the Component FMO duplicating the official form. FMOs must be involved in electronic transaction projects to ensure forms are properly created.

C5.2.6. If the electronic version differs from the prescribed official image, the DoD Component FMO that is the OPR for the form has the right to reject it. Upon rejection, any problems regarding the acceptability of the specific electronic version shall be brought to the attention of all concerned DoD Component FMOs and/or OSD FPOCs.

### C5.3. EXCEPTIONS TO SFs AND OFs

C5.3.1. Forms Exception Request Package. A forms exception request package shall include:

C5.3.1.1. A letter from the requesting DoD Component.

C5.3.1.2. A draft of the proposed exception to the form including electronic and hard copies of the form.

C5.3.1.3. A justification statement explaining the reason for the request. The justification must state why the SF or OF cannot be used in the existing format or physical construction or why it is not economical as prescribed, and must identify proposed changes and the reasons for each.

C5.3.1.4. A copy of printing specifications if applicable. The requester should consult with the DoD Component printing specialist to develop the necessary printing specifications.

C5.3.2. Forms Exception Request Process. A request for an exception to an approved form shall be processed through the proper channels and approved before it is implemented. A flow chart of the SF and OF exception process is at Figure C5.F1.

C5.3.2.1. The exception request package to an SF or OF shall be submitted through the requesting DoD Component FMO to the DoD SF and OF Liaison Representative.

C5.3.2.2. The DoD SF and OF Liaison Representative shall review the request to validate the need for the exception, to determine if a DoD exception for the form already exists, and to ensure that the supporting documentation is correct and complete.

C5.3.2.2.1. If the request is not validated by the supporting documentation, is not complete, or is incorrect, the DoD SF and OF Liaison Representative shall return it to the requesting DoD Component FMO for appropriate action.

C5.3.2.2.2. If a current DoD exception exists, the DoD SF and OF Liaison Representative shall provide a copy of the approving documentation to the requester through the DoD Component FMO.

C5.3.2.2.3. If the package is complete and accurate and a current DoD exception does not exist, the DoD SF and OF Liaison Representative shall forward the request package to the promulgating Federal agency with a copy to GSA.

C5.3.2.3. The promulgating Federal agency shall review the request and approve or disapprove the exception. The agency shall review the exception for need, completeness of documentation, and compliance with prescribing Federal regulations, Federal form design standards, and the goals of the SF and OF Management Program.

C5.3.2.3.1. If the request is invalid, incomplete, or incorrect, the agency shall return it through the DoD SF and OF Liaison Representative to the requesting DoD Component FMO for appropriate action.

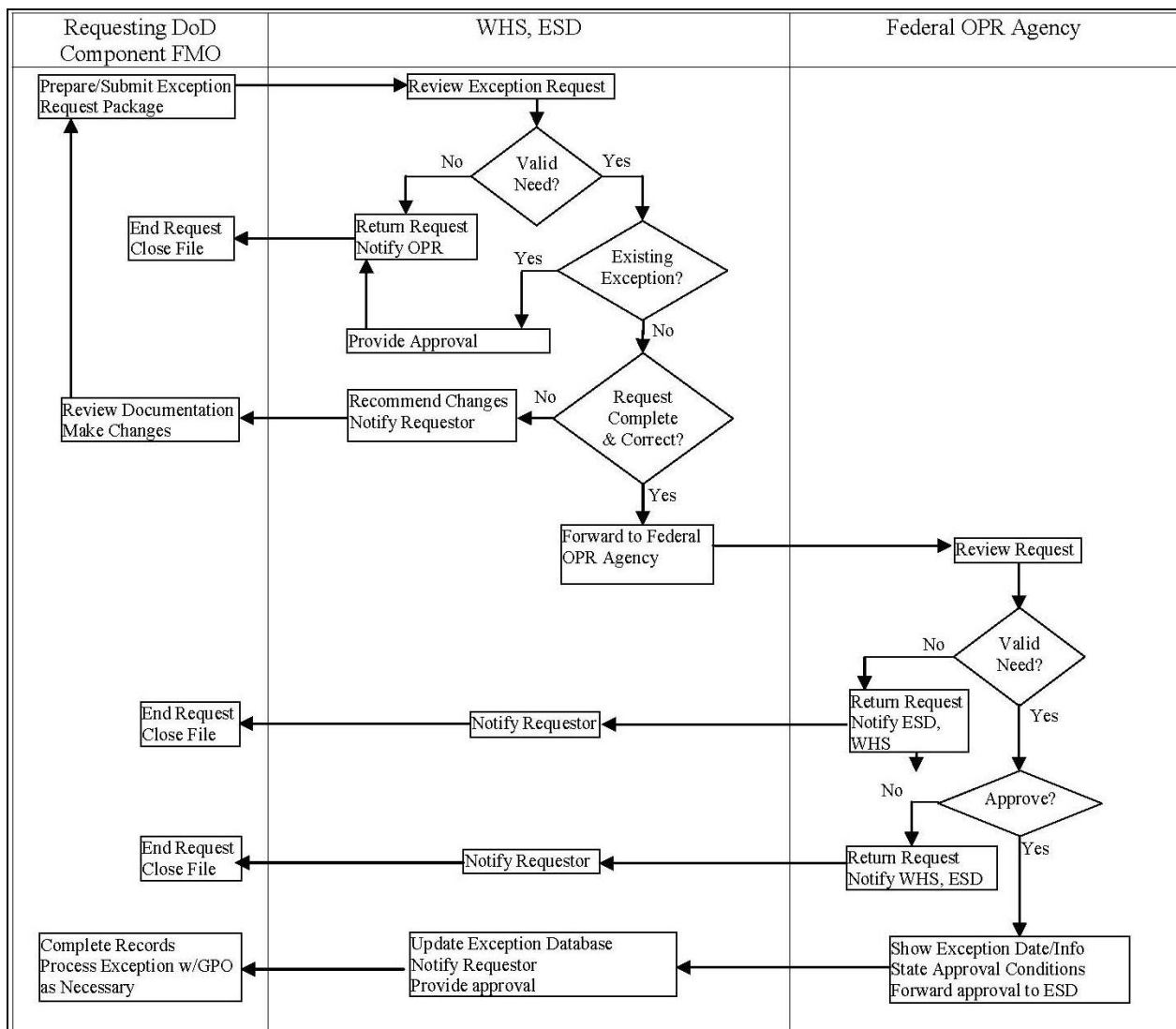
C5.3.2.3.2. If the request is approved, the agency shall return a copy of the approval package to the DoD SF and OF Liaison Representative, including the exception information to

be included on the form. The DoD SF and OF Liaison Representative shall send a copy of the approval package to GSA.

C5.3.2.4. The DoD SF and OF Liaison Representative shall notify the requesting DoD Component FMO of the determination and update the IMD inventory of approved DoD exceptions to SFs and OFs. The requesting DoD Component shall enter the following exception statement on the first page of the form, below or near the form number: “DoD Exception to (form number) approved by (promulgating Federal agency) Month, Year (MMM, YYYY).”

C5.3.2.5. If applicable, the requesting DoD Component shall be responsible for requisitioning the printing and providing the stock of the approved exception.

Figure C5.F1. Approval Process for DoD Exceptions to SFs and OFs





#### C5.4. EXCEPTIONS TO DD FORMS

C5.4.1. Forms Exception Request Package. A written request shall define the user's form requirements, state the type of exception that is requested, and provide justification explaining why the exception is needed.

C5.4.2. Forms Exception Process. The exception request shall be processed through the proper channels and approved prior to implementation. A flow chart of the DD Forms exception process is at Figure C5.F2.

C5.4.2.1. The request for exception to a DD Form shall be prepared by the requesting DoD Component office and submitted through the Component FMO to IMD.

C5.4.2.2. IMD shall review the request to validate the need for the exception, verify that the request is correct and complete, and determine if the exception has already been approved for DoD Component use.

C5.4.2.2.1. If the request is not valid or is not correct or complete, it shall be returned through the DoD Component FMO to the requesting office for appropriate action.

C5.4.2.2.2. If a current DoD Component exception exists, IMD shall provide the requesting DoD Component FMO a copy of the approving documentation.

C5.4.2.2.3. If the package is valid, complete, and correct and no current exception exists, IMD shall forward it to the Component FMO that is the OPR for the form.

C5.4.2.3. The Component FMO that is the OPR for the form shall review the request for validity and accuracy.

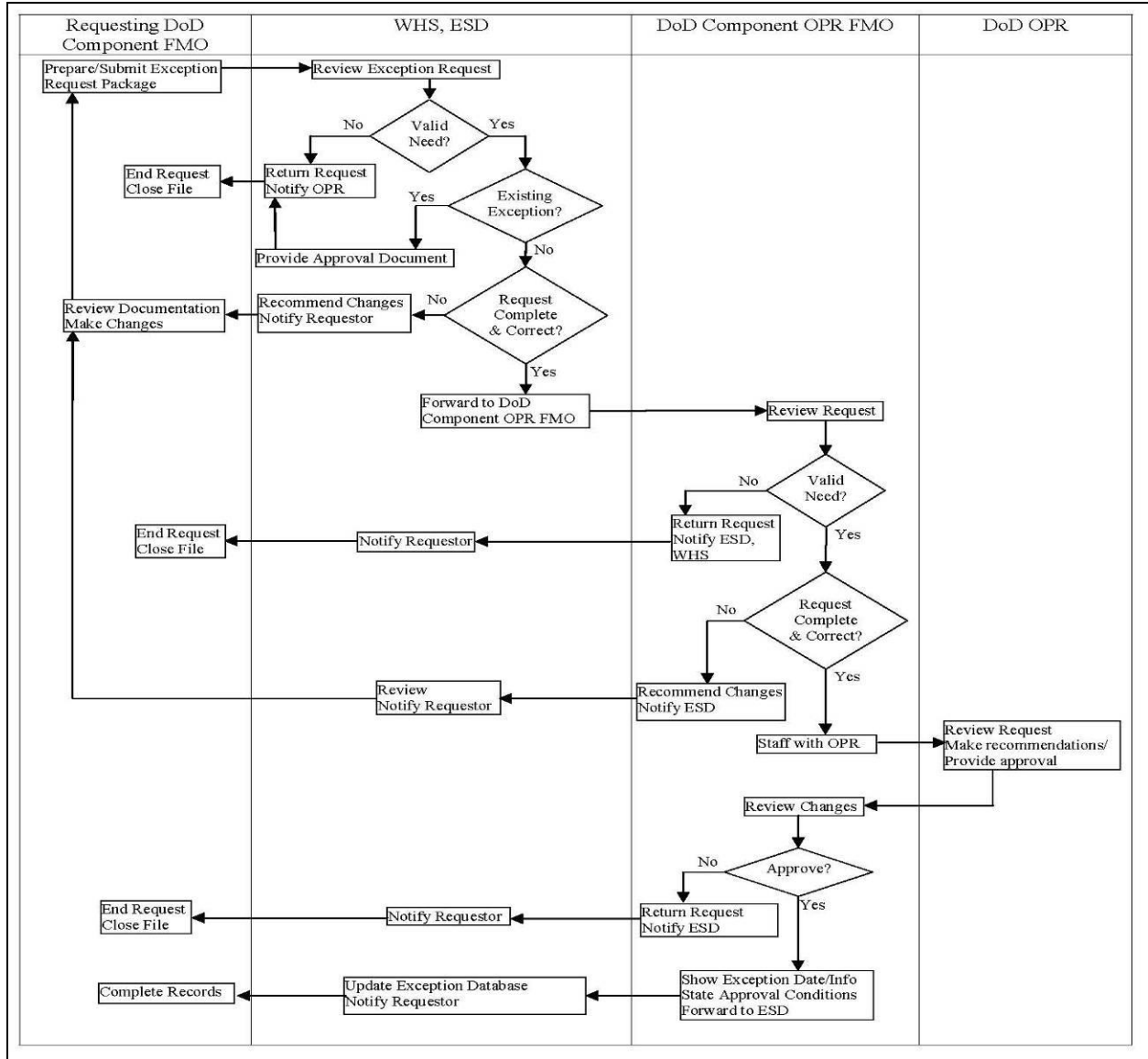
C5.4.2.3.1. If the request is not valid, or not correct or complete, it shall be returned through IMD to the requesting DoD Component FMO for appropriate action.

C5.4.2.3.2. If the package is valid, complete, and accurate, the request shall be forwarded to the form OPR for review. The form OPR shall review the request and, through its Component FMO, notify WHS(ESD) of its final determination.

C5.4.2.4. IMD shall forward the determination to the requesting DoD Component FMO. If the request is approved, the requesting office shall enter the exception statement on the first page of the form, below or near the form number (e.g., "Department of the Army Exception to DD Form 67 approved by WHS(ESD) 20041101").

C5.4.2.5. If applicable, the requesting Component shall be responsible for requisitioning the printing and providing the stock of the approved exception.

Figure C5.F2. Approval Process for DoD Exceptions to DD Forms



C5.5. DoD COMPONENT FORMS

The procedure for obtaining an exception to a DoD Component form is established by the DoD Component.

C6. CHAPTER 6

PRINTING OF FORMS

C6.1. PRINTING AND DISTRIBUTION COSTS

Printing, stocking, and distributing forms is expensive and must be considered when analyzing forms requirements. If printing is required, DoD Component FMOs should consult with their printing procurement and distribution specialists to determine printing specifications and the most cost-effective printing and distribution solution to meet user requirements. Printing factors that should be considered include the construction, type, size, and use of the form. Distribution factors that should be considered include the number and location of distribution offices and the cost of warehousing, shipping, and handling.

C6.2. PAPER (PHYSICAL) MEDIA REQUIREMENTS

If forms are available from the official DoD Forms Management Program Web Site in an electronic format and a DoD Component requires paper media, that Component shall contact the DoD Component FMO regarding procedures to establish a physical product.

C6.3. REPRODUCTION OF SFs and OFs

SFs and OFs stocked by FSS must be purchased from FSS unless otherwise authorized by GSA. If the forms are stocked by FSS, the user shall contact the FSS General Products Commodity Center at the address and telephone number below for information on prices, purchases, and local procedures for ordering from FSS.

General Services Administration – FSS  
General Products Commodity Center  
ATTN: 7FXM  
819 Taylor Street  
Fort Worth, TX 76102  
Telephone: 817-978-2557

## C7. CHAPTER 7

### SECURITY AND CONTROL OF FORMS

#### C7.1. FORM SECURITY

Reference (h) provides information on safeguarding classified information. Classified forms shall be processed and stored in a manner equivalent to the highest security level of the form.

C7.1.1. Blank Forms. Most blank forms are unclassified. When a blank form is classified, appropriate security procedures shall be followed in the design, printing, distribution, and stocking of the form.

C7.1.2. Completed Forms. When a completed form is classified, appropriate security procedures shall be followed in the routing, distribution, and filing of the form.

#### C7.2. CONTROL OF FORMS

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

C7.2.1. Safeguarded Forms. These forms shall be kept in approved storage and access to the form shall be restricted to authorized individuals. Electronic forms shall be password-protected.

##### C7.2.2. Controlling Distribution and Use of Forms

C7.2.2.1. Consecutive or serial numbering of forms facilitates control and accountability of form distribution and use. The printing specifications shall define the need for consecutively-numbered forms. Form control requirements may necessitate allocating exclusive blocks of serial numbers to the using DoD Components.

C7.2.2.2. When it is essential that there not be any missing or duplicate numbers in a series of consecutively-numbered forms, the printing specifications shall stipulate that guaranteed numbering is required. Assuring the integrity of the series of a form is costly and should only be specified when necessary.

C7.2.2.3. For more information concerning specifically-controlled SFs and OFs, see Reference (k).

## C8. CHAPTER 8

### DISTRIBUTION OF FORMS

#### C8.1. SFs AND OFs

C8.1.1. Paper Media. GSA is responsible for printing and stocking all SFs and OFs except those authorized for local reproduction, those stocked by the sponsoring agency, and those few forms available only from the Superintendent of Documents, GPO. If the existing stock of a prior edition form is to be used, the new edition will not be available until all stock of the prior edition is depleted.

C8.1.1.1. DoD Component Users. DoD Component users may obtain some SFs and OFs through their respective Component distribution channels. DoD Component users should contact their Component FMOs for information about Component procedures for obtaining SFs and OFs. DoD Component users may also order SFs and OFs from the FSS Supply Depots. Users must identify GSA stock numbers when ordering SFs or OFs.

C8.1.1.2. The Public. The public may obtain SFs and OFs from the DoD Component with which they do business or that has the responsibility for the involved function.

C8.1.2. Electronic Media. Electronic SFs and OFs are loaded on the GSA Forms Library Web Site. The DoD Components shall hyperlink to the GSA Forms Library Web Site rather than duplicate or modify SFs and OFs on their own Web sites to avoid possible user access to outdated and obsolete forms.

#### C8.2. DD FORMS

C8.2.1. Paper Media. Unless specified otherwise, the DoD Component FMOs shall be responsible for printing and distributing the DD Forms used by their Components.

C8.2.1.1. DoD Component Users. DoD Component users of DD Forms should contact the Component FMO for information about Component procedures for distributing forms.

C8.2.1.2. Other Federal Agencies. Other Federal agencies may establish accounts and procure DD Forms from the major DoD Component printing and distribution offices.

C8.2.1.3. The Public. If stipulated under contract, contractors may obtain the necessary forms from the DoD Component contracting office. Specific questions pertaining to forms stock or accessibility should be addressed to the Component FMO.

C8.2.2. Electronic Media. Official electronic formats of DD Forms are loaded on the DoD Forms Management Program Web Site.

C8.2.2.1. The DoD Components shall hyperlink to the DoD Forms Management Program Web Site rather than duplicating or modifying DD Forms on their own Web sites to avoid possible user access to outdated and obsolete forms. Exceptions may be requested.

C8.2.2.2. The public may download DD Forms from the Internet at the DoD Forms Management Program Web Site.

### C8.3. DoD COMPONENT FORMS

C8.3.1. Paper Media. DoD Component forms shall be printed, stocked, and distributed by the Component. For information concerning the distribution of DoD Component forms, users should contact the appropriate Component FMO.

C8.3.2. Electronic Media. The DoD Components are responsible for maintaining their Component forms on the Internet.

## C9. CHAPTER 9

### CANCELLATION OF FORMS

#### C9.1. SFs AND OFs

C9.1.1. Only the form OPR may cancel an SF or OF. To cancel a DoD-sponsored SF or OF the form OPR shall:

C9.1.1.1. Submit a completed SF 152, initialed by the DoD Component FMO, through the DoD SF and OF Liaison Representative, to GSA. Include information on the disposition of the existing stock in items 25 through 28 of the SF 152 and either attach a statement providing a valid reason for cancellation or include it in block 40, "Additional Remarks," of the SF 152.

C9.1.1.2. Announce the cancellation and the reasons for it in the Federal Register.

C9.1.2. Upon receipt of GSA approval of the cancellation, the DoD SF and OF Forms Liaison Representative shall forward a copy of the approving SF 152 to the DoD Component FMO and WHS shall place an entry about the cancellation on the DoD Forms Management Program Web Site.

#### C9.2. DD FORMS

C9.2.1. Only the DoD Component OPR may cancel a DD Form for which it is responsible. To cancel a DD Form, the OPR shall forward a completed DD Form 67 through the Component FMO to IMD. The OPR, FMO, or FPOC shall notify all using DoD Components of the planned cancellation. The notice shall cite why the form is no longer required and any replacement for it. If all concur, the OPR, through the Component FMO, shall notify IMD that all users agree on the cancellation.

C9.2.2. IMD shall review the DD Form 67 and process the request for cancellation. Upon IMD approval, a signed copy of the DD Form 67 shall be forwarded to the DoD Component FMO and the using DoD Components. Cancellation information shall be loaded on the DoD Forms Management Program Web Site. The DoD Component FMOs shall notify the users within their Components that the form has been canceled.

#### C9.3. DoD COMPONENT FORMS

To cancel a DoD Component form, the form OPR shall contact the Component FMO regarding Component procedures.