



Deputy Chief Management Officer
of the Department of Defense

ADMINISTRATIVE INSTRUCTION

NUMBER 86
November 12, 2014

ESD, WHS

SUBJECT: OSD Forms Management Program

References: See Enclosure 1

1. PURPOSE. This administrative instruction (AI):

a. Reissues AI 86 (Reference (a)) in accordance with the authority in DoD Directive (DoDD) 5110.04 (Reference (b)) to implement policy and update responsibilities and procedures for:

(1) Governing the OSD Forms Management Program, as required by DoD Instruction (DoDI) 7750.07 (Reference (c)).

(2) Processing Secretary of Defense (SD) forms sponsored by the OSD Components.

(3) Processing new and revised DoD forms, Standard Forms (SFs), Optional Forms (OFs), and OSD Component-sponsored exceptions to the SFs and the OFs as outlined in Reference (c) and DoD 7750.07-M (Reference (d)).

b. Supplements References (c) and (d) for administering the OSD Forms Management Program in OSD.

c. Authorizes the publication of SD forms on the DoD Forms Management Program website, <http://www.dtic.mil/whs/directives/infomgt/forms/index.htm>.

2. APPLICABILITY. This AI:

a. Applies to OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Office of the Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and other users of SD forms that are serviced by Washington Headquarters Services (WHS) (referred to collectively in this AI as the "WHS-serviced Components").

b. Applies to the creation, revision, cancellation, distribution, and use of SD forms, whether hard copy, soft copy (i.e., electronic), or other media (e.g., an Excel spreadsheet).

c. Does **not** apply to forms:

(1) Used exclusively for cryptological activities.

(2) Using formats, such as a guide, table, sample, or exhibit, as defined in Reference (d).

(3) That do not contain spaces for entering information; e.g., instruction sheets, bulletins, pamphlets, notices, contract clause sheets, placards, pattern letters, guide letters, and form letters. These items may be assigned form numbers and controlled through the DoD Forms Management Program as defined in Reference (d).

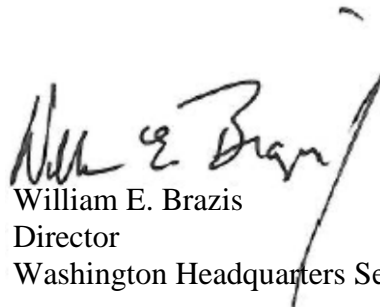
(4) Used by the Office of the Inspector General of the Department of Defense, in fulfilling its audit, investigations, evaluation, and inspection responsibilities.

3. **RESPONSIBILITIES.** See Enclosure 2.

4. **PROCEDURES.** See Enclosure 3.

5. **RELEASABILITY.** **Cleared for public release.** This AI is available on the Internet from the DoD Issuances Website at <http://www.dtic.mil/whs/directives>.

6. **EFFECTIVE DATE.** This AI is effective November 12, 2014.


William E. Brazis
Director
Washington Headquarters Services

Enclosures

1. References
2. Responsibilities
3. Procedures

Glossary

ENCLOSURE 1

REFERENCES

- (a) Administrative Instruction 86, "Office of the Secretary of Defense (OSD) Forms Management Program," March 10, 2006, as amended (hereby cancelled)
- (b) DoD Directive 5110.04, "Washington Headquarters Services (WHS)," March 27, 2013
- (c) DoD Instruction 7750.07, "DoD Forms Management Program," October 10, 2014
- (d) DoD 7750.07-M, "DoD Forms Management Program Procedures Manual," May 7, 2008, as amended
- (e) Administrative Instruction 15, "OSD Records and Information Management Program," May 3, 2013
- (f) DoD Directive 5400.11, "DoD Privacy Program," October 29, 2014
- (g) DoD Instruction 1000.30, "Reduction of Social Security Number (SSN) Use Within DoD," August 1, 2012
- (h) Title 36, Code of Federal Regulations
- (i) DoD 8400.01-M, "Procedures for Ensuring the Accessibility of Electronic and Information Technology (E&IT) Procured by DoD Organizations," June 3, 2011
- (j) Public Law 111-274, "Plain Writing Act of 2010," October 13, 2010
- (k) DoD Instruction 5025.13, "DoD Plain Language Program," April 11, 2013, as amended
- (l) Office of Management and Budget Memorandum, "Testing and Simplifying Federal Forms," August 9, 2012
- (m) Title 44, United States Code

ENCLOSURE 2

RESPONSIBILITIES

1. DIRECTOR, WHS. Under the authority, direction, and control of the Deputy Chief Management Officer (DCMO) of the Department of Defense, through the Director of Administration, Office of the DCMO, the Director, WHS, manages the OSD Forms Management Program in accordance with References (b) and (c).

2. DIRECTOR, EXECUTIVE SERVICES DIRECTORATE (ESD). Under the authority, direction, and control of the Director, WHS, the Director, ESD, through the OSD Forms Management Officer (FMO):

a. Provides guidelines for managing, administering, and implementing the OSD Forms Management Program by developing and updating this AI.

b. Acts as liaison between the OSD Components and the DoD Chief Information Officer on all forms policy matters.

c. Provides guidance and assistance to the forms points of contact (FPOCs) on all issues concerning forms management.

d. Provides forms design services for new and revised OSD Component forms, within current manpower limitations.

e. Meets the objectives of the OSD Forms Management Program to:

(1) Ensure a form satisfies a valid need and is necessary for the efficient and economical operation of OSD.

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

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

(4) Promote standardization and consolidation of forms; use of technology to facilitate the creation, distribution, and use of forms; and use of common definitions of information in forms.

(5) Maintain necessary management information as well as a historical record for each SD form to include all form editions from creation to cancellation. Maintain and dispose of these records, including electronic records, in accordance with AI 15 (Reference (e)).

3. WHS-SERVICED COMPONENT HEADS. The WHS-serviced Component heads:

- a. Comply with the OSD Forms Management Program in their respective organizations.
- b. Designate an individual, in writing, to act as the OSD Component FPOC to represent the OSD Component interests to the OSD FMO.
- c. Submit all forms requests, actions, or queries through their respective OSD Component FPOC to the OSD FMO. The OSD FMO provides final approval or disapproval.
- d. Review forms that collect personal identifying information in accordance with DoDD 5400.11 (Reference (f)).
- e. Reduce or eliminate the use of social security numbers within forms wherever possible in accordance with DoDI 1000.30 (Reference (g)).
- f. Coordinate forms with the records management official of the OSD Component requesting the form to make sure that the appropriate records disposition schedule has been identified pursuant to Reference (g).
- g. Ensure forms have been approved for electronic use by the sponsoring OSD Component and the OSD FMO before use.
- h. Design electronic forms consistent with providing accessibility for people with disabilities in accordance with Title 36, Code of Federal Regulations (Reference (h)) and DoD 8400.01-M (Reference (i)). When electronic forms are used, the form will allow people using assistive technology to access the information, field elements, and functionality required for completion and submission of the form.
- i. For forms requiring approval by the Office of Management and Budget (OMB) pursuant to the Paperwork Reduction Act requirements of chapter 35 of Reference (d), provide an instruction page or a link to a set of instructions written in plain language pursuant to Public Law 111-274 (Reference (j)) and DoDI 5025.13 (Reference (k)).
- j. For forms used for public information collections, include an agency disclosure statement written in plain language.
- k. Test forms used for public information collections before or during the comment period for the 60-day public information collection notice in accordance with OMB Memorandum (Reference (l)).
- l. Review forms periodically to determine continued need and effectiveness. Identify opportunities for standardizing forms, cancelling duplicate or unnecessary forms, and improving the usefulness of forms in responsible areas.

- m. Use the most efficient, cost-effective methods to reproduce, store, and distribute forms.
- n. Develop and distribute DoD Component guidance for obtaining SFs and OFs.

ENCLOSURE 3

PROCEDURES

1. The OSD Component FPOCs act as liaisons between their Component and the OSD FMO.
2. The FPOCs will ensure their respective OSD Component-sponsored forms are in compliance with this AI and References (c), (d), and (e). FPOCs provide guidance and assistance to OSD Component users.
3. Before preparing a request to create an OSD Component-sponsored form, the offices of primary responsibility (OPRs) and the FPOCs will research the existing forms inventory to verify that an existing form cannot meet the requirement.
4. Ensure the form has a prescribing document or issuance. The prescribing document or issuance must be published or updated before or simultaneously with the approval of the new or revised form. The form must be used as prescribed.
5. To create or revise an OSD Component-sponsored form, the form OPRs will submit a completed DD Form 67, "Form Processing Action Request," with other supporting documentation (e.g., prescribing issuance, Social Security Number justification, Systems of Records Notice) to their FPOCs for coordination and forwarding to the OSD FMO.
6. The SD form will be designed by the OSD Forms Management Office in compliance with forms design guidelines in Reference (d).
7. FPOCs will notify the OSD FMO of changes in proponency of OSD Component-sponsored forms due to reorganization or other factors.

GLOSSARY

PART I. ABBREVIATIONS AND ACRONYMS

AI	administrative instruction
DCMO	Deputy Chief Management Officer
DD	Department of Defense (form designation)
DoDD	DoD Directive
DoDI	DoD Instruction
ESD	Executive Services Directorate
FMO	Forms Management Officer
FPOC	forms point of contact
OF	optional form
OMB	Office of Management and Budget
OPR	office of primary responsibility
SD	Secretary of Defense (form designation)
SF	standard form
WHS	Washington Headquarters Services

PART II. DEFINITIONS

These terms and their definitions are for the purpose of this AI.

agency disclosure statement. A required disclosure notice pursuant to the public protection provisions of chapter 35 of Title 44, United States Code (Reference (m)). The public protection provision requires each federal agency to display a currently valid OMB control number and inform respondents that notwithstanding any other provision of law, no person will 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.

DD form. A form approved by the DoD FMO to support an information collection requirement and authorized for use within or outside of the DoD. The form is numbered and bears the “DD”

designation. It is created or sponsored by an OPR in DoD and is hardcopy, electronic, or other media format. The use of the form is either prescribed or adopted as defined in Reference (d).

prescribed DD form. Mandatory for use by two or more DoD Components and prescribed by a public law or DoD issuance.

adopted DD form. Adopted for optional for use by two or more DoD Components having a common requirement. Its use is prescribed by a DoD Component regulation, manual, or instruction.

form. An officially prescribed set of data collected in any medium to support an information collection requirement.

FPOC. The person in the OSD Component responsible for coordinating and implementing the policies and procedures of the OSD Forms Management Program.

SD form. A form approved by the OSD FMO and authorized for use in OSD. The form is numbered and bears the “SD” designation. It is created or sponsored by an OPR in OSD and is hardcopy, electronic, or other media format. The use of the form is either prescribed or adopted.

prescribed SD form. Prescribed by a DoD issuance for use by two or more OSD Components.

adopted SD form. Adopted for optional use by two or more OSD Components having a common requirement. Its use is prescribed by a DoD issuance or respective OSD Component memorandum.