



DEPARTMENT OF THE NAVY  
OFFICE OF THE SECRETARY  
1000 NAVY PENTAGON  
WASHINGTON DC 20350-1000

SECNAVINST 5213.16  
OCIO  
18 Oct 2019

SECNAV INSTRUCTION 5213.16

From: Secretary of the Navy

Subj: DEPARTMENT OF THE NAVY FORMS MANAGEMENT PROGRAM

Ref: See enclosure (1)

Encl: (1) References  
(2) Definitions  
(3) Responsibilities  
(4) Sample Form Management Officer Appointment Letter

1. Purpose

a. Establish policies and assign responsibilities for the management and control of Department of the Navy (DON) Forms Management Program and implement references (a) through (f).

b. Authorize development and updating of implementing guidance through reference (g). Reference (g) provides implementing procedures, criteria, rules, and terms for the DON Forms Management Program.

2. Cancellation. SECNAVINST 5210.16.

3. Definitions. See enclosure (2).

4. Applicability. This instruction applies to the Offices of the Secretary of the Navy (SECNAV), the Chief of Naval Operations (CNO), the Commandant of the Marine Corps (CMC), and all U.S. Navy, U.S. Marine Corps installations, commands, activities, field offices, and all other organizational entities within the DON.

5. Policy. DON organizations, defined as the Offices of the SECNAV (Secretariat), CNO, CMC, and all CNO, CMC, and all Navy and Marine Corps activities, installations, and commands that produce forms must have a Forms Management Officer (FMO) and a forms program incorporating policy and procedures of this instruction and reference (g). Pursuant to chapters 21, 25, 27,

29, 31, and 33 of reference (b), part 1320 of reference (c), reference (d), reference (f), and references (h) through (k), it is DON policy that:

a. All DON organizations provide for continuing analysis, review, and control of all forms originated or sponsored by that DON organization to ensure that forms are effective, efficient, and economical in serving their intended purpose;

b. DON forms must satisfy a valid need. Information collected on a form must be essential to accomplish a mission need and necessary for the efficient and economical operation of the DON;

c. DON forms must be called for use in an official requiring document. Official requiring documents that call for the use of forms must be reviewed by the cognizant FMO at the level of the official document;

d. DON forms must be properly designed utilizing design standards contained in reference (g), using clear instructions and standardized data for easy processing and retrieval of information collected;

e. The design of electronic forms must be consistent with providing accessibility for people with disabilities pursuant to part 1194 of reference (d). This design must allow people using assistive technology to complete and submit DON forms.;

f. DON forms that collect Social Security Numbers (SSN), whether in full or in part (masked, truncated, last four digits), and other personally identifiable information:

(1) Must be cleared by the cognizant Privacy Officer at the level of the form's designation to ensure that a Privacy Act System of Records notice exists permitting such collection and that a Privacy Act-compliant Privacy Act Statement (PAS) is shown on the form;

(2) Must have an approved SSN justification utilizing SECNAV 5213/1 SSN Reduction Review, in accordance with reference (1), and

(3) The collection of SSN by DON forms must be reduced or eliminated.

g. Department of Defense (DoD) forms requiring approval by the Office of Management and Budget pursuant to the Paperwork Reduction Act requirements of chapter 35 of reference (b) must follow policy and procedures contained in reference (m), Volume 2 of reference (n), and references (o) and (p);

h. When a DON command requires a form, they must use, in order of precedence, General Services Administration (GSA) Standard (SF) or Optional Forms (OF), then DoD forms (DD forms), and finally existing DON forms. The last option is to create a new DON form. This option requires approval and assignment of a form number by the cognizant FMO. Standardized DON forms must be used throughout the DON to the maximum extent possible.;

i. DON forms must be loaded or stocked along with their metadata on Naval Forms Online (NFOL). For forms that cannot be distributed to the public, a document identifying how the form may be obtained and the form metadata must be loaded to NFOL; and

j. Bootleg or unofficial forms must be taken out of circulation and will be considered unauthorized.

6. Responsibilities. See enclosure (3).

7. Sample Form Management Officer Appointment Letter. See enclosure (4).

8. Records Management

a. Records created as a result of this instruction, regardless of format or media, must be maintained and dispositioned according to the records disposition schedules found on the Directives and Records Management Division (DRMD) portal page:

<https://portal.secnv.navy.mil/orgs/DUSNM/DONAA/DRM/SitePages/Home.aspx>.

b. For questions concerning the management of records related to this instruction or the records disposition schedule,

please contact your local Records Manager or the DRMD program office.

9. Forms

a. The following forms are available for download at Navy Forms Online Website

<https://forms.documentservices.dla.mil/order/>.

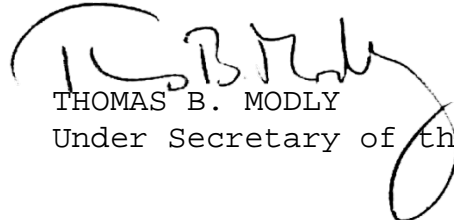
(1) SECNAV 5213/1 SSN Reduction Review.

(2) SECNAV 5213/2 Forms Review.

b. DD Form 67, Form Processing Action Request, is available for download from the DoD Forms Website

<http://www.esd.whs.mil/Directives/forms/>.

10. Information Management Control. DD-CIO(A,Q)2296 and SECNAV Report Control Symbol (RCS) 5213-1 have been assigned to the SSN Justification data collection contained within this instruction and in reference (g).

  
THOMAS B. MODLY  
Under Secretary of the Navy

Distribution:

Electronic only, via Department of the Navy Issuances website

<https://www.secnav.navy.mil/doni/default.aspx>.

**REFERENCES**

- (a) 41 CFR
- (b) 44 U.S.C.
- (c) 5 CFR
- (d) 36 CFR
- (e) DoD Instruction 7750.07 of 10 October 2014
- (f) DoDM 7750.07, DoD Forms Management Program Procedures Manual of 7 May 2008
- (g) SECNAV M-5213.1
- (h) 41 CFR 102-193
- (i) General Services Administration, Standard and Optional Forms Procedural Handbook
- (j) SECNAVINST 5430.7R
- (k) DoD Instruction 5400.11 of 29 January 2019
- (l) DoD Instruction 1000.30 of 1 August 2012
- (m) DoD Instruction 8910.01 of 19 May 2014
- (n) DoDM 8910.01, DoD Information Collections Manual of 30 June 2014
- (o) SECNAVINST 5214.4
- (p) SECNAV M-5214.1
- (q) 5 U.S.C.
- (r) SECNAVINST 5239.24
- (s) 44 U.S.C. §3504
- (t) 15 U.S.C.
- (u) 29 U.S.C.
- (v) DON CIO WASHINGTON DC 151450Z MAR 17

**DEFINITIONS**

1. Adopted Form. A form in this category is initiated by two or more DoD Components (DD forms) or DON organizations (SECNAV, OPNAV, NAVMC, Echelon 1 and 2 command forms). Its use is prescribed by a requiring document (i.e., regulation, manual, directive, or instruction, etc.).
2. Automated Form. A form created, stored, transmitted, filled in, filed, and destroyed electronically. There is no paper involved in this process.
3. Bootleg. Bootleg forms are unofficial forms that have been based on or created from either active (regardless of the media) or cancelled official forms. These forms do not have approved exception requests from the official form's originator or sponsor via the cognizant DON Organization FMO.
4. Case File. The official record of the form that includes the history of its creation, revision, supersession, or cancellation. See paragraph 9k of enclosure (3). These files must be maintained pursuant to reference (g).
5. DD Form. A form used by two or more DoD Components or DoD staff offices. Forms may be prescribed or adopted. DON organizations must not create forms that duplicate or nearly match a DD form.
6. DoD FMO. The position responsible for managing the DoD Forms Management Program.
7. DON Form. A form prescribed by a requiring document and approved by the DON Organization FMO for use either at the sponsoring DON organization or by two or more subordinate organizations, supporting activities, detachments, etc.
8. DON FMO. The position responsible for the execution and management of the DON Forms Management Program pursuant to this instruction.
9. DON Organization FMO. Any DON personnel appointed in writing to manage a DON organization's forms program. This position is responsible for managing the DON organization's

Forms Management Program pursuant to the policies and procedures set forth in reference (g), as well as references (i) and (f).

10. 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 system (also identified as a Web-based form) with permission of the originator or sponsor, via the cognizant FMO. There are two types of electronic forms: forms that are part of an automated transaction and forms with image or data elements residing on a computer.

a. Automated Form. A form created, stored, transmitted, filled in, filed, and destroyed electronically. There is no paper involved in this process.

b. Flat Sheet Print On-Demand Form. A form created, transmitted, and stocked electronically, but printed, filled-in, filed, and stored on paper.

11. 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.

12. 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.

a. Content Exception. An addition, change to, or deletion of one or more 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.

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

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

d. 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.

13. 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), if approved by the cognizant FMO.

14. Form Designation. The alphabetic preface to the form number. It identifies the sponsor or originator of the form. For example, the form designation "NAVSEA" indicates the form is issued by Commander, Naval Sea Systems Command.

15. Format. A guide, table, sample, or exhibit that illustrates a predetermined arrangement or layout for presenting information. Most formats are largely narrative in nature and the space needed by the respondents to furnish the desired information varies substantially. Formats are often used where the arrangement and layout of items are simple and flexible and where the number of respondents is fairly limited. Formats should not be used in place of a standardized form or to expedite a project. Formats can place unnecessary burdens on respondents and fail to provide the needed data.

16. 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.

17. NFOL. The official website for all DON forms and Navy sponsored stocked DD forms. All DON Organization FMOs are required to load their organization forms on NFOL.

18. NAVMC Form. Second highest level form used within the United States Marine Corps (USMC). May be prescribed or adopted.



19. Office Form. A form distributed to and completed by persons within a single office of a DON organization. These forms must not replace the collection of data required on a higher level form. If a higher level form exists, it must solely be used. An office form does not have to be prescribed by a requiring document. While DON Organization FMO approval is not required, the DON Organization FMO must be made aware of the office form. If the DON Organization FMO requires the discontinuation of an office form, the particular office form can no longer be used.

20. OPR. The agency or organization having responsibility for the overall ownership of and the requiring document or issuance for a specific form. This term means the same as the term "promulgating agency" as used by the SF and OF Management Program.

21. Official Form. An issued form, meeting the requirement of being called for within a requiring document, and has an approved form designation identifying prefix and number approved by the cognizant FMO.

22. OPNAV Form. Second highest level form within the United States Navy. May be prescribed or adopted.

23. OF. Developed by a Federal agency for use in two or more Federal agencies and approved by the GSA for non-mandatory Government-wide use.

24. Originator. Any DON organization assuming responsibility for a form. The originator must decide what items to include on the form, the estimated annual usage, and the form availability (i.e., stocking point or website). This information will be submitted to the forms manager for approval. If the form will be used outside the DON organization, the originator must inform users, in writing, that the form is required and also provide a signed copy of the requiring document to the cognizant FMO.

25. Overprinting. The display of identical entries in an appropriately captioned area or fillable field existing on a form. 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.

26. Prescribed Form. Requires mandatory use for all DON organizations to whom the subject matter applies. The form is prescribed by either a DoD or DON issuance.

27. Requiring Document. The written communication that starts or oversees an action, conduct, or procedure. The requiring document establishes a requirement for and prescribes the required use of a form by the organizations and individuals identified in the scope of the document, unless instructions in the document specifically state otherwise or a written waiver is granted. Examples are instructions, notices, manuals, orders, etc. News releases, program announcements, catalogs, price lists, training materials, and correspondence are not included.

28. SECNAV Form. Highest level form within the DON. Can be prescribed or adopted.

29. Specialty Form. Certain printed items that may not have fill-in spaces, such as tags, labels, and posters, may be considered as forms if they are to be stocked in the Navy supply system. These items must also be mentioned in a requiring instruction, notice, or order. If these forms are not stocked in the Navy supply system, form numbers are not required. A specialty form is also known as a non-form item. Refer to Appendix D of reference (g) for procedures for specialty forms.

30. Sponsor. Any DON organization assuming responsibility for a form originated by another DON organization or agency. An example of sponsorship is DD 2351, "DoD Medical Examination Review Board," originated by the Department of the Air Force, but sponsored for DON use by Chief, Bureau of Medicine and Surgery, who assumes the same responsibilities as the originator.

31. SF. Forms developed for use by two or more Federal agencies and approved by GSA for mandatory use. The availability of these forms is generally set forth in regulations issued by the originating agency.

32. Stocked Form. DON paper or specialty forms that have annual usage rates of 100 or more per year. All DON paper or specialty forms must be stocked with Defense Logistics Agency (DLA) Information Services.

33. Superseded Form. A form that has been replaced by a new edition of the form. Unless "Previous Editions Can Be Used" is on the new edition of the form, superseded forms are considered cancelled and cannot be used.

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

35. Unofficial Form. An uncontrolled form, issued without a requirement from a source document. An unofficial form does not have a form designation identifying prefix or number. The cognizant FMO has not approved a form designation prefix or number. These forms are not compatible with any particular method of completion. Unofficial Forms contribute to sensitive and classified spillage as well as lost records. These forms should be rejected by all individuals asked to fill them out. Persons receiving the unofficial form have the authority to reject the use of the form. Any form distributed in a medium other than that approved by the sponsor and published by the cognizant FMO, is also considered unofficial and must not be used.

**RESPONSIBILITIES**

1. Department of the Navy Chief Information Officer (DON CIO). The DON CIO, pursuant to reference (a) parts 102-192 and 102-194, reference (b) Chapter 35, reference (e), reference (g), and reference (j), on behalf of the SECNAV, is responsible for the Forms Management function in the DON. On behalf of the DON CIO, the Office of the DON CIO (OCIO) will:

a. Provide overall policy for the DON Forms Management Program as specified in this instruction.

b. Authorize NFOL at <https://forms.documentservices.dla.mil/order/> as the official DON source for all DON electronic and stocked forms;

c. Appoint a DON FMO to implement the DON Forms Management Program across the DON; and

d. Develop and maintain reference (g) that contains implementation guidance and program guidelines for the DON Forms Management Program.

2. CNO. The CNO will provide support to the OCIO in discharge of the DON Forms Management Program by developing a coordinated and comprehensive program and providing staff assistance to the OCIO in carrying out its responsibilities under this program. CNO will:

a. Implement the DON Forms Management Program within the U.S. Navy;

b. Appoint a Forms Program Manager to implement the DON Forms Management Program within the U.S. Navy to:

(1) Provide continuing analysis, review, and control of DON and Navy forms and ensure that they are effective, efficient, necessary, and economical in serving their intended purpose; and

(2) Produce and consolidate the annual SSN Reduction report for consolidation into the DON SSN Reduction report.

c. Require personnel who create or revise forms to adhere to the standards set forth in this instruction and reference (g), and comply with applicable laws and regulations; and

d. Implement and maintain an index for OPNAV sponsored forms and make OPNAV sponsored forms available on NFOL.

3. CMC. CMC will:

a. Implement the DON Forms Management Program within the Marine Corps;

b. Appoint a Forms Program Manager to implement the DON Forms Management Program within the Marine Corps to:

(1) Provide continuing analysis, review, and control of Marine Corps forms and ensure that they are effective, efficient, necessary, and economical in serving their intended purpose; and

(2) Produce and consolidate the annual SSN Reduction report for consolidation into the DON SSN Reduction report.

c. Require personnel who create or revise forms to adhere to the standards set forth in this instruction and reference (g), and comply with applicable laws and regulations; and

d. Implement and maintain an index for Marine Corps Headquarters forms and make Marine Corps Headquarters sponsored forms available on NFOL.

4. Commanding Officers (COs), Directors, Officers in Charge. CO will:

a. Implement a DON Forms Management Program within their organization;

b. Appoint in writing (see enclosure (4) of this instruction) an individual as the Organization FMO to represent organization interests. Individuals appointed should be at an organizational level of sufficient authority to efficiently and effectively implement the objectives and policies of the DON Forms Management Program:

(1) Echelon 2 and higher will send signed FMO appointment letters to the DON FMO;

(2) Secretariat Component or Activity FMOs will send a copy of signed appointment letters to the Secretariat FMO;

(3) Echelon 3 and below will send signed FMO appointment letters to their Echelon 2 FMO;

(4) USMC major subordinate commands and higher will send signed FMO appointment letters to the USMC FMO; and

(5) USMC organizations below major subordinate commands will send signed FMO appointment letters to their major subordinate command FMO.

c. Ensure personnel within their organization submit all requests, actions, or inquiries about forms through their respective Organization FMO; and

d. Ensure that responsible officials at all levels:

(1) Ensure that forms within their organization comply with applicable laws and regulations, including, but not limited to, chapter 35 of reference (b) and sections 552 and 552a of reference (q);

(2) Promote the use of technology to facilitate the creation, distribution, control, and use of official forms; promote the use of electronic transactions and electronic signatures as required by reference (r) through (s) and chapter 96 of reference (t);

(3) Promote the use of approved forms technology to produce electronic forms that are accessible to DON employees and other individuals with disabilities who need access to DON information, as required by section 794d of reference (u); and

(4) Promote the use of common data elements contained in forms.

5. DON FMO. DON FMO will:

a. Establish and manage forms management programs for DON to implement the policy and procedures in this instruction, references (f) and (i), and the procedures in reference (g);

b. Act as liaison between the DON and the DoD FMO and other Federal agency FMOs on all forms matters;

c. Provide guidance and assistance to DON organizations on forms management policy interpretation, procedures, criteria, and problems relating to forms matters; serve as the FMO for OPNAV organizations;

d. Conduct reviews and studies of DON organization forms management programs to ensure adherence to the procedures in references (g), (f), and (i);

e. Maintain the DON Forms Management web site;

f. Act as liaison between DON and DLA on the DLA DON forms stocking program and the DLA DON electronic form hosting solutions;

g. Ensure that all forms within the DON are raised to the highest level of forms designation (e.g., certain forms may qualify as OPNAV versus NAVSEA);

h. Develop and implement DON forms management training;

i. Maintain an accurate index of DON Organization FMOs' point of contact (POC) information. Information should include FMO name, e-mail address, work phone number, organization name, and form designator(s). Echelon 1, Echelon 2, and major subordinate command FMOs will provide DON FMO with a copy of the index, sending updates as they occur; and

j. Maintain a file of Echelon 1, Echelon 2, and major subordinate command signed FMO appointment letters.

6. Secretariat FMO. The Secretariat FMO is located within Department of the Navy/Assistant for Administration DRMD office. Secretariat FMO will:

a. Implement the DON Forms Management Program within the Secretariat;

b. Appoint a Forms Program Manager to govern the Secretariat Forms Management Program within the Secretariat:

(1) Provide continuing analysis, review, and control of DON and Navy forms and ensure that they are effective, efficient, necessary, and economical in serving their intended purpose; and

(2) Produce and consolidate the annual SSN Reduction report for consolidation into the DON SSN Reduction report.

c. Require personnel who create or revise forms to adhere to the standards set forth in this instruction and reference (g) and comply with applicable laws and regulations, ensuring that official forms are designed using the DON Application and Database Management System (DADMS) approved forms software; and

d. Implement and maintain an index for Secretariat sponsored forms and make Secretariat sponsored forms available on NFOL.

7. USMC FMO. The USMC FMO is located within Headquarters Marine Corps Records, Reports, Directives, and Forms Management Section (ARDB). USMC FMO will:

a. Implement the DON Forms Management Program within the USMC;

b. Appoint a Forms Program Manager to govern the USMC Forms Management Program within the USMC:

(1) Provide continuing analysis, review, and control of USMC forms and ensure that they are effective, efficient, necessary, and economical in serving their intended purpose; and

(2) Produce and consolidate the annual SSN Reduction report for consolidation into the DON SSN Reduction report.

c. Require personnel who create or revise forms to adhere to the standards set forth in this instruction and reference (g) and comply with applicable laws and regulations, ensuring that



official forms are designed using the DADMS approved forms software; and

d. Implement and maintain an index for USMC sponsored forms and make USMC sponsored forms available on NFOL.

8. Echelon 1, Echelon 2, and Major Subordinate Command FMOs. Echelon 1, Echelon 2, and major subordinate command FMOs will:

a. Establish and manage forms management programs for their respective organization to implement the policy in references (f), (g), and (i), as well as assist DON FMO in conducting reviews and studies of their respective forms management programs;

b. Conduct periodic review and study of their lower Echelon forms management programs;

c. Act as liaison between their organization and DON FMO on all forms matters and provide guidance and assistance to their organizational users on all forms matters;

d. Maintain an accurate index of lower Echelon FMOs' POC information. Information should include FMO name, e-mail address, work phone number, organization name, and form designator. They will provide DON FMO with a copy of the index, sending updates as they occur; and

e. Maintain a file of lower Echelon FMO appointment letters.

9. DON Organization FMOs. DON Organization FMOs will:

a. Ensure procedures in references (f), (g), and (i) are followed and establish internal procedures for creating, revising, distributing, and canceling organization forms;

b. Ensure organization forms are properly identified by organization form designation; form number; and edition or revision date;

c. Review active organization forms every 2 years, using SECNAV 5213/2 Forms Review, for continued need and conformity to policy and procedures, as well as eliminate duplicate

organization forms. Reviews should be done with a focus towards revision, consolidation, and cancellation;

d. Ensure organization forms are issued at the highest level designation appropriate;

e. Ensure organization forms collecting personal information receive a privacy officer review, contain a PAS, and adhere to references (p) and (k);

f. Ensure organization forms that contain an SSN field go through the SSN Reduction review. SSN justification is done using SECNAV 5213/1. Each completed SECNAV 5213/1 will be filed in the form's case file and each form justification completion date will be entered in the remarks field on the metadata screen in NFOL;

g. Maintain a database to produce annual SSN Reduction reports as of 1 July of each year (RCS DD-CIO(A, Q)2296), per references (g), (n), and guidance released by DON CIO. The annual report must contain:

(1) New Form Report:

- (a) The annual report;
- (b) Number of forms reviewed;
- (c) Number of forms requesting SSNs;
- (d) Number of SSN justifications accepted and not accepted;
- (e) Identification of forms where SSNs were not allowed; and
- (f) Identification of forms where SSNs were masked or truncated.

(2) Existing Forms:

- (a) Total number of forms in the database;
- (b) Number of forms containing SSNs;

- (c) Number of forms reviewed;
- (d) Number of forms where SSN justifications were accepted;
- (e) Number of forms where SSN justifications were not accepted;
- (f) Identification of forms where SSN justification was accepted; and
- (g) Identification of forms where SSN was masked or truncated.

(3) Navy Reporting. Echelon 3 and below FMOs will create a report and send it to their Echelon 2 FMO. Echelon 2 FMO will create a consolidated report and send it to their Echelon 1 FMO. Echelon 1 FMOs will create and send a consolidated report to the DON FMO. DON FMO will create and send a consolidated Navy and USMC report to the DON CIO;

(4) Marine Corps Reporting. All that directly report to major subordinate commands will consolidate reports from their subordinate commands, units, and activities and forward the report to the major subordinate command FMO. USMC FMO will send the USMC consolidated report to DON FMO; and

(5) OCIO Reporting. OCIO will send a DON consolidated SSN Reduction Report to DoD for inclusion in the Federal Information Security Management Act Report.

h. Review draft requiring documents (e.g., directives, manuals, official standard operating procedures) for compliance with policy and procedures pursuant to references (f), (g), and (i);

i. Ensure all official DON organization forms and metadata are loaded on NFOL. All official DON organization forms must be on NFOL pursuant to reference (v);

j. Maintain an accurate electronic index of all current organization forms. An electronic index must contain form number, form title, form revision, sponsor/originator name and contact information, number, and title of requiring document(s),

if form contains an SSN field, date of SSN reduction justification (if applicable), cancellation date, and cancellation reason;

k. Maintain program files and form case files pursuant to reference (g) on all forms originated or sponsored by the organization. A case file must contain:

(1) Completed DD Form 67 Form Processing Action Request (for creation, revisions, and cancellation; old case folders may have an OPNAV 5213/19 in lieu of a DD Form 67);

(2) Copy of the form;

(3) First page of the requiring document and pages within the requiring document that call for the form;

(4) SSN justification package (if applicable);

(5) Any other material relating to the form; and

(6) When the form is cancelled, include a copy of the canceling document.

l. Arrange form folders in sequence by number.

10. Originator and Sponsor of DON Forms. DON personnel creating or revising DON forms will:

a. Ensure the form is needed, the information requested is essential, and the proposed or revised form does not duplicate existing forms. Originators will review existing DON forms, as well as higher level forms, before requesting a new form be authorized;

b. Complete a DD Form 67 to request approval for the proposed or revised form. Refer to Exhibit 2 and Appendix A of reference (g) for a sample of a completed DD Form 67 and instructions on completing a DD Form 67, respectively. Changes, such as form content, format, or data element sequences requested by those other than the originator of a form, require an approved exception request. The DON personnel requesting the changes must ensure that the exception request is sent through their Organization FMO to obtain approval for the changes from

the form's originator via the originator's FMO. Refer to Chapter 4 of reference (g);

c. Prepare a requiring document (an instruction, notice, or order, etc.) to inform respondents of the existence of the form and prescribing how the form is to be filled out and used. Before a form is published, include the requiring document number in the upper right hand side of the form so persons receiving the form are able to match the form with the requiring document. Office forms (forms issued to and completed by persons in the same office) are exempt from this requirement. Actual copies of forms will not be included in the requiring document unless a filled sample of the form is specifically needed to aid the respondents in completing the form. The word "SAMPLE" must be overlaid (e.g., watermarked) on the form to prevent unauthorized reproduction of the form;

d. Obtain a RCS licensing review if the form is part of an information collection (reporting) requirement;

e. Draft a copy of the form, listing the data elements in logical order and if needed, complete easy to read, step-by-step instructions for completing the required information;

f. Decide how the form is to be made available (e.g., stocked at DLA Information Services, loaded on NFOL), as well as estimate the annual demand and the number of expected responses;

g. Provide a copy of the proposed form and requiring document with the completed DD Form 67 to the cognizant FMO for review and approval; and

h. Notify the cognizant FMO in writing, using the DD Form 67, when the form is ready to be cancelled and if necessary, remove the form from the requiring instruction, notice, or order by issuing a change transmittal or revision.

(1) Cancellation of forms published in physical media must be done in a way that draws down stock before discontinuation of the form. Failure to adhere to this requirement often results in significant financial loss, both from the original creation expense and from assessed destruction costs; and

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(2) Cancellation of forms published in electronic media must be done in such a way that ample notice is provided for removal from all affected systems. Originators are responsible to work with webmasters and information technology administrators in order to remove access to cancelled forms.

**SAMPLE FORM MANAGEMENT OFFICER APPOINTMENT LETTER**

(Command Letterhead)

5213  
Ser:  
(Date)

From: Commander, (Command Name)  
To: (Name of Designee)

Subj: APPOINTMENT OF FORMS MANAGEMENT OFFICER (FMO)

Ref: (a) SECNAVINST 5213.16  
(b) SECNAV Manual 5213.1 of December 2005

1. Pursuant to reference (a), you are hereby appointed Forms Management Officer (FMO) for (activity and field office code).

2. As FMO, you will be responsible for the implementation, maintenance, management, and administration of the (activity and field office code) Forms Management Program. You are to provide continuing analysis, review, and control of all command forms to ensure that they are effective, efficient, and necessary in serving their intended purpose. You are required to read and become thoroughly familiar with references (a) and (b) in the performance of your duties. Provide a copy of this designation letter and the following information to your higher Echelon FMO:

FMO's Name:  
FMO's E-mail Address:  
FMO's Phone Number:  
FMO's Supervisor:  
Supervisor E-mail Address:  
Supervisor Phone Number:

3. This appointment will remain in effect until cancelled or revoked.

M. S. BARNETT  
By direction

Copy to: Echelon 1 or 2 FMO

Enclosure (4)