



Department of Defense INSTRUCTION

AD-A272 589



May 31, 1990
NUMBER 7750.7

C, DoD

SUBJECT: DoD Forms Management Program

- References:**
- (a) DoD Instruction 5000.21, "Forms Management Program," December 5, 1973 (hereby canceled)
 - (b) Title 44, United States Code, Sections 21, 29, 31, 33, and 3501-3511 et seq. Public Law 96-511, "The Paperwork Reduction Act of 1980," December 11, 1980, as amended by Public Law 99-500, "The Paperwork Reduction Reauthorization Act of 1986," October 18, 1986
 - (c) General Services Administration (GSA), Federal Information Resources Management Regulation "FIRMR," Part 201-22, 201-45.104 and 201-45.5
 - (d) Title 5, Code of Federal Regulations, Part 1320, "Control of Paperwork Burdens on the Public"
 - (e) through (o), see enclosure 1

A. PURPOSE

1. This Instruction supersedes reference (a) to update policies governing the DoD Forms Management Program as required by references (b) and (c), and implements guidance issued in references (d) through (o).

2. The DoD Forms Management Program objectives are to:

- a. Ensure that a form satisfies a valid need and is necessary for efficient and economical operation of the Department of Defense.
- b. Minimize the cost of using forms by developing forms that are easy to fill-in, read, transmit, process, and retrieve.
- c. Increase the usefulness of information on forms through proper design and clear instructions.
- d. Promote standardization and consolidation of forms.
- e. Promote the use of technology to facilitate the creation, distribution, and use of forms.

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

3. This Instruction authorizes the publication of DoD 7750.7-M, "Forms Management Procedures Manual" and DoD 7750.7-L, "Listing of Approved Department of Defense (DD) Forms," consistent with DoD 5025.1-M (reference (1)).

B. APPLICABILITY AND SCOPE

This Instruction:

1. Applies to the Office of the Secretary of Defense (OSD), the Military Departments (including the National Guard and Reserve components), the Chairman, Joint Chiefs of Staff and the Joint Staff, the Unified and Specified Commands, the Inspector General of the Department of Defense (IG, DoD), the Uniformed Services University of the Health Sciences (USUHS), the Defense Agencies, and the DoD Field Activities (hereafter referred to collectively as "DoD Components").

2. Applies to the development and use of forms in the Department of Defense, including the different types of forms; i.e., Standard Forms (SFs); Optional Forms (OFs); Department of Defense (DD) Forms; DoD Component Forms; and the different media in which forms may be available, i.e., paper and electronic.

3. Does not apply to forms:

- a. Used exclusively for cryptological activities.
- b. With annual usage of 100 or less forms.
- c. Used only once as part of a survey.
- d. That are formats, as defined in item 7 of enclosure 2.
- e. Without spaces for entering information, such as instruction sheets and bulletins, pamphlets, notices, contract clause sheets, placards, certain tags and labels, pattern letters, guide letters, and form letters. However, these items may be assigned form numbers and controlled through the Forms Management Program for referencing, printing, inventory, and distributing.

C. DEFINITIONS

The terms used in this Instruction are defined in enclosure 2.

D. POLICY

It is Department of Defense policy to:

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15. Review DoD Forms Management Program accomplishments and practices periodically, consistent with the Information Resources Management (IRM) Review Program (reference (j)).

16. Review annually the most frequently used forms and those forms that create a significant burden for preparation for continuing need and possible improvement. In particular, identify opportunities for standardizing forms, eliminating duplicate or unnecessary forms, and improving the usefulness of forms.

17. Require that accounting forms relating to fiscal operations are consistent with the principles, standards and related requirements prescribed by 31 U.S.C. 3511 (reference (k)).

E. RESPONSIBILITIES

1. The Comptroller, Department of Defense (C, DoD), as the DoD Senior IRM Official shall:

a. Establish, issue, and update policies for the DoD Forms Management Program; monitor compliance with this Instruction; and provide policy guidance for the DoD Forms Management Program.

b. Represent the Department of Defense at other Government Agencies and non-Government Organizations on forms management policy matters.

c. Promote standardization of DoD forms.

d. Resolve conflicts that may arise regarding implementation of the DoD forms management policy .

e. Review and coordinate on the publication of the manual authorized in subsection A.3 with the Director, Washington Headquarters Services in accordance with DoD 5025.1-M (reference (l)).

2. The Under Secretaries of Defense (USDs), Assistant Secretaries of Defense (ASDs), the Comptroller of the Department of Defense (C, DoD), the General Counsel of the Department of Defense (GC, DoD), the Inspector General of the Department of Defense (IG, DOD), and Assistants to the Secretary of Defense (ATSDs) shall:

a. Comply with the policy and procedures of this Instruction.

b. Designate a single point of contact to coordinate with the C, DoD, on matters concerning DoD forms management policy , and with the Director, Washington Headquarters Services

(WHS), on matters concerning the DoD Forms Management Program and operations.

c. In coordination with the Director, WHS, review forms that they sponsor periodically for continuing need and effectiveness. In particular, identify opportunities for standardizing forms, eliminating duplicate or unnecessary forms, and improving the usefulness of forms in their responsible areas.

d. Review and ensure that all requests to create, revise, cancel, or obtain exceptions to DD Forms, SFs, and OFs comply with this Instruction and all applicable DoD policies and Federal regulations, before forwarding to WHS.

e. Notify WHS of their authorization for the creation and use of electronic versions of DD forms which they sponsor.

3. The Director, Washington Headquarters Services (WHS), shall:

a. Establish and manage the DoD Forms Management Program in accordance with this Instruction and applicable DoD policies and Federal regulations.

(1) Develop, update, and publish the manual authorized in subsection A.3 in accordance with DoD 5025.1-M (reference (1)) and in coordination with the C, DoD. The Manual shall provide the implementing procedures, criteria, rules, and terms for the DoD Forms Management Program.

(2) Represent Department of Defense at other Government agencies and non-Government organizations on forms management operational matters.

b. Provide guidelines for managing, administering, and implementing the DoD Forms Management Program.

c. Review and approve or disapprove all requests to create, revise, cancel, or obtain exceptions to DD Forms, and ensure that these requests are consistent with this Instruction and all applicable DoD policies and Federal regulations.

(1) Design all DD Forms in accordance with existing Federal and DoD forms design standards.

(2) Approve or disapprove the creation and use of all electronic versions of DD Forms.

(3) In conjunction with the DoD Components, conduct periodic reviews of DD Forms to determine continued need and effectiveness. In particular, identify opportunities for eliminating duplicate or unnecessary forms and improving the usefulness of forms.

(4) Maintain and publish DoD 7750.7-L, "Listing of Approved Department of Defense (DD) Forms," in accordance with DoD 5025.1-M (reference (1)).

(5) Maintain an inventory of approved DD Forms, identifying those that are approved for electronic generation.

d. Establish and manage the DoD Component Forms Program for OSD, described in subsection E.4.

e. Perform the duties of the DoD SF and OF Liaison Officer for the Department of Defense which shall include:

(1) Review all requests to create, revise, cancel or obtain exceptions to SFs and OFs for compliance with this Instruction and applicable Federal regulations and instructions, before forwarding to GSA.

(2) Disapprove any form that duplicates or accomplishes the same purpose of an existing SF, as approved by the GSA for Governmentwide use, or of an existing DD Form approved by WHS for DoD-wide use.

(3) Maintain an inventory of exceptions to SFs and OFs and make the inventory available for use by the DoD Components.

4. The Heads of DoD Components shall:

a. Implement the policy and procedures of this Instruction.

b. Designate a DoD Component FMO, as a single point of contact, to coordinate with the C, DoD, on matters concerning DoD forms management policy and with the Director, WHS, on matters concerning the DoD Forms Management Program and operations.

c. Establish and manage their DoD Component Forms Program to:

(1) Review and approve or disapprove all requests to create, revise, cancel, or obtain exceptions to DoD Component forms, and ensure that these requests are consistent with this Instruction and all applicable DoD policies and Federal regulations.

(2) Design all DoD Component forms in accordance with existing DoD and Federal design standards.

(3) Approve or disapprove the creation and use of all electronic versions of their DoD Component forms.

(4) Request WHS approval of electronic versions of DD Forms.

(5) Authorize the creation and use of electronic versions of DD Forms that they sponsor.

(6) Review requests to create, revise, cancel, or obtain exceptions to SFs, OFs, or DD Forms for compliance with this Instruction and all applicable DoD policies and Federal regulations, before forwarding to WHS.

(7) Review existing DoD Component forms periodically and assist WHS in the periodic review of DD Forms to determine continued need and effectiveness. In particular, identify opportunities for eliminating duplicate or unnecessary forms and improving the usefulness of forms.

(8) Disapprove any form that duplicates or accomplishes the same purpose of an existing SF, as approved by GSA for Governmentwide use, or an existing DD Form as approved by WHS for DoD-wide use, or an existing DoD Component Form approved for the DoD Component-wide use.

(9) Maintain an inventory of approved DoD Component Forms, identifying those that are approved for electronic generation.

(10) Achieve savings in reproducing, storing, and distributing DD and DoD Component Forms.

(11) Publish procedures for obtaining Standard and Optional Forms.

F. PROCEDURES

1. Each DoD Component shall implement a DoD Forms Management Program consistent with the FIRMR (reference (c)).

2. The order of precedence for forms usage is:

a. SF, as approved by the General Services Administration (GSA) for mandatory use Governmentwide, consistent with FIRMR 201-45.5 (reference (c)).

b. OF, as approved by the GSA for nonmandatory use Governmentwide, consistent with reference (c).

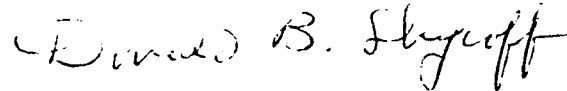
c. Exceptions to SF and OF, as approved by the GSA, consistent with reference (c).

d. DD Forms, as approved by the OSD, for use within the Department of Defense.

e. DoD Component Forms, as approved by the DoD Component, for use only within that DoD Component.

G. EFFECTIVE DATE

This Instruction is effective immediately.

A handwritten signature in cursive script, reading "Donald B. Shycoff".

Donald B. Shycoff
Principal Deputy Comptroller

Enclosures - 2

1. References
2. Definitions

References, continued

- (e) DoD Directive 7750.5, "Management and Control of Information Requirements," August 7, 1986
- (f) DoD Directive 5400.7, "DoD Freedom of Information Act Program," May 13, 1988
- (g) DoD 5400.11-R, "Department of Defense Privacy Program," August 1983, authorized by Title 5, United States Code, Section 552a(e)(3)
- (h) DoD Directive 5000.11, "Data Elements and Data Codes Standardization Program," December 7, 1964
- (i) DoD 4525.8-M, "DoD Official Mail Manual," July, 1987, authorized by DoD Directive 4525.6, "Single Manager for Military Postal Service," May 5, 1980
- (j) DoD Instruction 7740.3, "Information Resources Management (IRM) Review Program," February 7, 1989
- (k) Title 31, United States Code, Section 3511, "Prescribing Accounting Requirements and Developing Accounting Systems"
- (l) DoD 5025.1-M, "DoD Directives System Procedures," April 1981, authorized by DoD Directive 5025.1, December 23, 1988
- (m) Public Law 81-754, "Federal Records Act of 1950," September 5, 1950, 44 United States Code, codified as amended in chapters 25, 27, 29, 31 and 33
- (n) DoD Directive 5118.3, "Comptroller of the Department of Defense," May 24, 1988
- (o) DoD Directive 7740.1, "DoD Information Resources Management Program," June 20, 1983

DEFINITIONS

1. Department of Defense (DD) Form. A form approved by WHS for use by two or more DoD Components. There are two types of DD Forms:

a. Prescribed. Requires mandatory use by all DoD Components to whom the subject matter applies. Its use is prescribed by a DoD Issuance; i.e., DoD Directives, DoD Instructions, DoD publications, and changes thereto.

b. Adopted. The use of these forms is optional by DoD Components. Normally, forms in this category are initiated by a DoD Component in conjunction with one or more other DoD Components.

2. DoD Component Form. A form approved by a DoD Component for general use only within that Component. This includes:

a. Component Form. A form approved by the DoD Component FMO for use by two or more of the DoD Component's commands.

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

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

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

3. DoD Component Forms Management Officer (FMO). The DoD Component's point of contact responsible for the Component's Forms Management Program.

4. Electronic Form. A form whose image is stored electronically and can be reproduced from computer memory.

5. Exceptions. An approval to change the content, format, or printing specifications, or to create an electronic version of an approved form. Exceptions may apply to all types of forms; i.e., DoD Component forms, DD Forms, OFs, and SFs.

6. Form. A fixed arrangement of captioned spaces designed for entering and extracting prescribed information. Forms may be preprinted paper forms or electronic forms.

7. Formats. A guide, table, or sample that illustrates a predetermined arrangement or layout for presenting information.

Most formats are largely narrative in nature and the space needed by respondents to furnish the desired information varies substantially.

8. Optional Form (OF). A form developed for use in two or more Federal Agencies and approved by GSA for nonmandatory use. The availability of such forms for use is normally announced by the agency that developed and sponsored the form for use.

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