

***SECNAV M-5213.1 - FORMS MANAGEMENT MANUAL***  
***SECNAV M-5214.1 - INFORMATION REQUIREMENTS (REPORTS)***  
***MANUAL***

---

---

***NCR TRAINING***  
***STAND-DOWN***

***YN1(SW/AW) JOSEPH FINNEY***

## ***OBJECTIVES***

---

- To explain procedures and responsibilities for the development, control, and use of forms required by and used within the DON.
- To understand that forms are vital to the success of any organization and provides the basis for management decisions.
- To review effective forms management policies and procedures.
- The purpose of the Information Requirements (Reports) manual is to identify and provide procedures for the areas that comprise the DON Information Requirements (Reports) Program. Separate chapters cover internal information collections, public information collections, and interagency information collections.

# ***INTRODUCTION***

---

- Forms management ensures that forms provide needed information effectively, efficiently, and economically.
- Information is vital to the success of any organization and provides the basis for management decisions. Specific types of data are needed to meet particular requirements. Information collections are the major means for providing this data.
- Specific types of data are needed to meet particular requirements and forms are a major means for providing a fast and easy method of collecting information.

# ***Forms Management***

---

## Analysis and Control

- Forms must be constructed to obtain all needed information. Provide clear instructions for completing to avoid misinterpretation.
- Each block must have a current need or known future requirement.
- Distribution of completed forms is on a need to know basis.
- Consider the cost of establishing new forms and improving old forms. Is it beneficial to the workplace?

## Printing and Stocking

- Forms will be printed by the Document Automated and Production Service (DAPS) and stocked at Navy Forms Online.

## Web Based, Electronically Fillable

- Often provide potential cost and time burden savings compared to traditional paper forms.

# ***Precedence of Forms***

---

## **FIRST LEVEL FORMS - SF/OF FORMS**

- Established for government-wide use. OSD and DON personnel shall not create any form that duplicates SF or OF Forms.

## **SECOND LEVEL FORM - DD FORMS**

- Established for DoD-wide use. DON personnel shall not create any form that duplicates a DD Form.

## **THIRD LEVEL FORM - DON FORMS**

- Established for use in more than one command.

## **FOURTH LEVEL FORM - INTERNAL FORMS**

- Established for use within a specific Navy/Marine Corps command.

# ***Standard Forms (SF) and Optional Forms (OF)***

---

- General Service Administration (GSA) coordinates and controls all SFs and OFs.
- The Office of the Secretary of Defense/Washington Headquarters Services (OSD/WHHS) serves as the single point of contact for all matters relating to these forms.
- SFs & OFs are used by all government agencies and are the highest authority forms in the Federal government. Do not recreate/duplicate.
- SFs are for use by two or more federal agencies and approved for mandatory use by GSA
- OFs are for use by two or more federal agencies and approved for non-mandatory use.
- Composition: SF 701 / OF 702
  - Abbreviation of Standard/Optional Form
  - Next consecutive number

## ***Department of Defense (DD) Forms***

---

- OSD/WHS coordinates, controls, designs, assigns form numbers, and approves DD forms.
- Used by more than one military service or DoD staff office and are the highest forms originated in the DoD.
- DON personnel shall not change/modify DD Forms.
- Prescribed DD Form - Mandatory use for all DoD components to whom the subject matter applies.
- Adopted DD Form – Optional use by DoD components.
- Composition: DD 4 / DD 2658
  - Abbreviation of Department of Defense Form
  - Next chronological number of DD Forms

## ***Department of the Navy Forms***

---

- Established by the Office of the Secretary of the Navy, Office of the Chief of Naval Operations, and Marine Corps Headquarters for use in more than one command.
- Composition of DON Form Numbers:
  - OPNAV 1000/1 (2-91)
  - SAN DIEGO GEN 1000/3 (Rev. 4-04)
    - Originating command
    - SSIC which best matches the title of the form
    - Slash or Slant identify consecutive numbers for that particular form within that particular SSIC
    - Next consecutive number in the SSIC series
    - Date created or subsequent revisions included in parentheses
- Forms shall not contain letters!



## ***Department of the Navy Forms (cont'd)***

---

- Information collection forms can also be requests for information and are subject to information collection (reports) control.
- Information collections (reports) control breaks down into three categories:
  - Public reporting
  - Interagency reporting
  - Internal reporting

## ***Department of the Navy Forms (cont'd)***

---

- Public Reporting – Forms requiring information from 10+ persons not employed by the Federal Government and must be approved by the Office of Management and Budget (OMB). OMB approval lasts for a maximum of 3 years. OMB will assign a control number and expiration date for information collection purposes only.
- Interagency Reporting – Forms requiring information from one department to another and must be approved by GSA. DoD cannot initiate an information collection but can respond when tasked.
- Internal Reporting – Forms requiring information that is established and used within the DON.

## ***Information Collections Control***

---

The Command Information Management Control Manager is responsible for:

- Reviewing information collections
  - Approving information collections by using Report Control Symbols (RCS)
  - Reviewing individual information collections at least every three years
  - Maintaining management data on information collections as required by their organization (i.e. RCS, Title, Cost, Purpose, etc.)
- 
- Collections will be reviewed by the action officer 180 days prior to the expiration date (Part II Paragraph 3)
  - Collections not approved for extensions are AUTOMATICALLY CANCELLED on expiration date
  - To cancel information – a change transmittal and justification is required
  - To keep information – a revised directive or change transmittal is required 60 days prior to expiration date

## ***Internal Information Collection***

---

- Establishing Requirement
  - Prepare report analysis data form (OPNAV 5214/10)
  - Ensure not authorized for more than three years
    - If less than three years, must include expiration date in information collections paragraph
- Justification of exemption
- Establish message information requirements
  - During periods of MINIMIZE - (MIN: CONSIDERED) after RCS
    - Last sentence must include “Released by” with Rank/Grade and name of releaser
- Filing Information
  - Case folders
    - Completed OPNAV 5214/10
    - Copy of report form, format or copy of information collection
    - Copy of document requiring information collection

## ***Internal Information Collections (cont'd)***

---

- Control Inventory
  - Purpose is to provide:
    - Central reference point
    - Source of information for comparison or background use when reviewing new collections and revisions
    - To avoid duplication of existing requirements
  - Reports Record Card (OPNAV 5214/5)
- Reports Control Symbols
  - Assigned by Command Information Management Control Manager
    - SECNAV/OPNAV assigned by OPNAV (DNS-51)
    - USMC assigned by HQMC (ARDB)
- Highest authority will appear on information collection
- Composition
  - Letters indicate abbreviation of bureau, office, or command
  - Four or five digits indicate SSIC
  - Last digit separated by dash indicates next consecutive number SSIC series

## ***Internal Information Collections (cont'd)***

---

- Department of Defense (DoD)
  - RCS is assigned by Washington Headquarters, Directorate for Information Operations and Reports (WHS/DIOR)
    - DD = DoD
    - Abbreviation before parenthesis is the office within DoD requiring collection
    - Letters in parenthesis indicate the frequency of the report
    - Digits indicate next consecutive number assigned by DoD
    - SSIC follows DoD symbol
    - One-time DoD RCS is expressed as “DD-COMP (OT)8836(7010)”
- Location of RCS
  - When establishing collection - last paragraph of the document
  - When referencing established collection – RCS is cited in the paragraph mentioning collection
- Exemptions

---

---

***Thank you/Questions?***