Defense Logistics Agency
INSTRUCTION

SUBJECT: Forms Management Program

References: Refer to Enclosure 1.

1. <u>PURPOSE.</u>

  a. Comply with Department of Defense Instruction (DoDI) 7750.07, (Reference (a))

  b. Supersedes DLA Instruction (DLAI) 5302 (Reference (b)) and establishes policy, assigns responsibility, and prescribes procedures for the management, execution, and oversight of the DLA Forms Program.

  c. Establish the "DLA Forms Index," (Reference (c)).

2. <u>APPLICABILITY.</u> This Instruction applies to all DLA activities.

3. <u>DEFINITIONS.</u> See Glossary.

4. <u>POLICY.</u> It is DLA policy to:

  a. Comply with the requirements in Reference (a) and DoD 7750.07-M (Reference (d)) to establish and sustain an official forms program that supports the Agency's mission.

  b. Use only forms that receive DLA Forms Management Officer (FMO), the DoD FMO, or similar authority approval.

  c. Approve forms that satisfy a valid need and are properly designed with clear instructions and standardized data for easy collection, processing, analysis, and retrieval of information. Specifically, forms must:

    (1) Use information technology to the maximum extent possible.

(2) Display an official DLA form number that conforms to DLAI 5310 (Reference (e)).

(3) Written in plain language to comply with DoDI 5025.13 (Reference (f)).

d. Prescribe forms in Agency issuances or reference them in the DLA Forms Index (Reference (c)).

e. Use standardized forms throughout the agency and avoid duplicating higher-level government forms such as DoD forms (DD), Standard and Optional Forms (SF and OF), and Office of Personnel Management (OPM) Forms.

g. Eliminate the use of Social Security Numbers (SSN) to conform to DoDI 1000.30 (Reference (g)).

5. RESPONSIBILITIES. See Enclosure 2.

6. PROCEDURES. See Enclosure 3.

7. INFORMATION REQUIREMENTS.

a. DD Form 67 (DD 67), "Form Processing Action Request," (electronically available on the DoD forms web site at http://www.dtic.mil/whs/directives/forms/index.htm).

b. Memorandum for Record (MFR) justifying use of SSNs.

c. DLA Form 1950, "Justification for Collection of SSN," (electronically available on the DLA Forms Index at http://www.dla.mil/officialforms).

d. MFR justifying nonuse of digital signatures.

8. INTERNAL CONTROLS.

a. Every DLA form must have a prescribing or describing reference in a DLA issuance or document its use case in Reference (c). Issuing a form without a prescribing document makes the agency vulnerable to inefficiency and wastes money. To lessen this risk, Local Forms Officers (LFO) and the FMO will confirm the existence of the prescribing document in block 11 of the DD Form 67.

b. To ensure against duplicating an existing higher-level form, we must search current DLA, DD, and General Services Agency form inventories (SF and OF) before the creation, modification, or revision of a DLA form. Depending on the function of the form, check other form inventories. For example, if the form is in the Human Resource area, check OPM's form inventory. Duplicating higher-level forms creates confusion and violates DOD policy. To lessen

this risk, use the DD 67 as an internal control. Action officers (AOs) will include the statement in block 14 of the DD 67: "There is no current GSA, DOD, or DLA form for this use case." LFOs and the FMO will check to ensure this statement is on the DD 67 and is valid.

c. We must coordinate all forms that contain Personally Identifiable Information (PII) with the Privacy Act Office. Forms that collect PII and stored in a Privacy Act system of records must contain a Privacy Act Statement. Collecting PII without the Privacy Office's approval may result in administrative, civil, or criminal penalties and makes the agency vulnerable to PII breaches. To address this risk, the Privacy Act Officer must review all form requests and document approval for PII collections by completing section 15.a. of the DD Form 67.

d. We must conduct forms surveys or inventory discovery projects periodically to ensure continued applicability of forms. We can do surveys or inventory discovery projects any time, but we must do them at least once every two years. We will publish survey results in the forms section of the DLA eWorkplace.

9. <u>RELEASABILITY</u>. UNLIMITED. This instruction is approved for public release and is available on the Internet from the DLA Issuances web site.

10. <u>EFFECTIVE DATE.</u> This instruction:

a. Is effective on August 19, 2015.

b. Must be revised, canceled, or certified current within five years of its publication to comply with DLAI 5025.01 (Reference (h)). If not, it will expire on August 19, 2025, and removed from the DLA Issuances Website.

PHYLLISA S. GOLDENBERG
Director, DLA Strategic Plans and Policy

Enclosures
    Enclosure 1 – References
    Enclosure 2 – Responsibilities
    Enclosure 3 – Procedures
Glossary

ENCLOSURE 1

REFERENCES

(a)   DoDI 7750.07, "DoD Forms Management Program," October 10, 2014
(b)   DLAI 5302, "Forms Management," January 2, 2011 (hereby canceled)
(c)   "DLA Forms Index," official listing of DLA forms and their use cases.
(d)   DoD 7750.07-M, "DoD Forms Management Program Procedures Manual," August 14, 2012
(e)   DLAI 5310, "We Are DLA," March 18, 2011
(f)   DoDI 5025.13, "DoD Plain Language Program," April 11, 2013
(g)   DoDI 1000.30, "Reduction of Social Security Number (SSN) Use Within DoD," August 1, 2012
(h)   DLAI 5025.01, "DLA Issuance Program," January 4, 2013
(i)   DLAI 5015.01, "Records Management," December 17, 2012
(j)   DLAI 5303, "Information Collections," December 17, 2002
(k)   32 CFR Part 323, Defense Logistics Agency Privacy Program, June 3, 2013
(l)   Section 552a of title 5 United States Code, "Privacy Act of 1974"
(m) "Local Form Officer Resources," in the DLA eWorkplace.
(n)   DoDI 5400.16, "DoD Privacy Impact Assessment (PIA) Guidance," February 12, 2009
(o)   Defense Logistics Agency (DLA) Records Retention Schedule, January 2015

ENCLOSURE 2

RESPONSIBILITIES

1. <u>THE DIRECTOR, STRATEGIC PLANS AND POLICY (J5) must</u>:

    a. Issue Agency-wide policy and procedures to carry out the DLA Forms Management Program and oversee compliance.

    b. Standardize DLA forms.

    c. Assign a DLA FMO to manage the Agency Forms Program.

2. <u>DLA HEADQUARTERS (HQ) J-CODE DIRECTORS, D-CODE DIRECTORS, CHIEF OF STAFF, AND PRIMARY LEVEL FIELD ACTIVITIES (PLFA) DIRECTORS/ COMMANDERS must</u>:

    a. Act as the Office of Primary Responsibility (OPR) for forms sponsored by their organizations and ensure compliancy with the contents of this Instruction.

    b. Promote the use of standard forms and ensure the use of higher-level forms wherever possible.

    c. Reduce or eliminate the use and collection of SSN in forms that they sponsor.

3. <u>THE DLA FMO must</u>:

    a. Manage the DLA Forms Program.

    b. Represent the Agency to DoD and other Government agencies on all forms management policy and implementation matters.

    c. Review, approve, or disapprove all form designs and actions.

    d. Maintain proper records on the DLA Forms Program under Reference (i) and sections <u>5025.01 and 5025.12</u> of Reference (o).

    e. Maintain the DLA Forms Index and the DLA Forms web site with access to all electronic form files, information on how to get paper forms, and program contact information.

    f. Approve or disapprove waivers for forms without digital signature ability.

    g. Allow personnel to act as Local Form Officers (LFO), keep a list of current LFO's, and establish and enforce LFO training.

4. THE DLA RECORDS MANAGEMENT OFFICER must coordinate with the FMO and the form's OPR to identify the retention schedule for all new or revised forms in accordance with References (i) and (o).

5. THE DLA INFORMATION COLLECTION OFFICER (IMCO) must coordinate with the FMO and the form's OPR to help submit and gain Office of Management and Budget approval for forms that are subject to the Paperwork Reduction Act in accordance with DLAI 5303 (Reference (j)). The IMCO will review or develop a Privacy Impact Assessment for any form whose content will be maintained in an information system, database, or any electronic storage device in accordance with DoDI 5400.16 (Reference (n)).

6. THE DLA PRIVACY ACT OFFICER must:

    a.   Review all DLA Forms that collect PII or SSN and provide suitable statements or notices in accordance with 32 CFR Part 323 (Reference (k)) and section 552a of title 5 United States Code (Reference (l)).

    b.   Work with the DLA FMO in carrying out the reporting requirements for SSN reduction as described in Reference (g).

    c.   Refer any form whose content will be maintained in an information system, database, or electronic storage device to the IMCO for review or development of a Privacy Impact Assessment.

    7. ACTION OFFICERS (AO) responsible for establishing instructions, manuals, or standard operating procedures must ensure that all DLA-sponsored forms referenced will receive approval in accordance with this instruction.

8. LOCAL FORM OFFICERS must:

    a.   Complete technical training as directed by the FMO.

    b.   Design forms using standard design guidelines in Reference (m).

    c.   Ensure forms sponsored by their organizations comply with all applicable statutes, regulations, policies, and procedures.

ENCLOSURE 3

PROCEDURES

1. NON-DLA FORMS. Follow the procedures in Reference (d) to create, revise, change, cancel, or seek exceptions to SF, OF and DD Forms.

Note: See glossary entry "Form Action Request" for definitions and explanations of each of the form action types: Creation, Modification, Revision, and Cancellation. You can find more details for Sections 2 through 9 in Reference (m).

2. CREATE A DLA FORM.

    a. AOs (on behalf of the OPR).

       (1) Identify the need for a form.

       (2) Check SF, OF, DoD, and DLA form inventories to see if a suitable form exists. If no current form is suitable, identify what will prescribe the form (see Section 1 of the Appendix).

       (4) Prepare a mock-up of the form or a list of necessary data elements in collaboration with all stakeholders, if any, and send to a LFO. See Section 5 of Appendix.

       (5) Prepare DD Form 67 in accordance with Section 3 of the Appendix.

    b. LFO.

       (1) Check the SF, OF, DoD, and DLA form inventories. If no current form is suitable, begin the design of the form.

       (2) Request and receive a form number from the FMO (see Section 2 of Appendix).

       (3) Work with the AO until the draft is ready for coordination.

    c. AO. Get the approving official (Branch Chief level or higher) to approve the form's use case and design by signing block 18 of a DD 67 and send it to the LFO. If the form collects PII, the approving official must be at the Directorate/Office level. See Section 3 of the Appendix.

    d. LFO. Send the final draft of the form, and DD 67 to the FMO for compliance coordination (see Section 6).

3. REVISE AN EXISTING DLA FORM.

    a. AO.

       (1) Confirm the requirement for the form exists by checking the prescribing issuance.

       (2) Check SF, OF, DoD, and DLA form inventories to see if a suitable form exists.

(3) Send a description of the revision to the LFO.

    b.   LFO.

(1) Check the SF, OF, DoD, and DLA form inventories. If no current form is suitable, begin revising the form.

(2) Work with the AO until the draft is ready for coordination.

    c.   AO. Get the approving official (Branch Chief level or higher) to approve the form's use case and design by signing block 18 of a DD 67 and send it to the LFO. If the form collects PII then the approving official must be at the Directorate or Office level.

    d.   LFO. Send final draft of form and DD 67 to FMO who begins compliance coordination (see Section 6).

4. CHANGE A DLA FORM.

    a.   AO.

(1) Identify the necessary changes.

(2) Confirm the requirement for the form by checking the prescribing DLA issuance.

(3) Send requested modifications to FMO (or LFO).

    b.   FMO. As long as the modification does not change the underlying data structure or alter the original use case of the form, then make the necessary changes (or approve modification of the form's design) and finalize the modification action (see Section 9). Otherwise, stop the modification action and start a revision action (Section 3).

5. CANCEL A DLA FORM.

    a.   AO. Contact the FMO to request a cancellation. Include the OPR approval (either on a DD 67, or digitally signed email).

    b.   FMO. Evaluate any potential issues with canceling the form. If there are no issues, complete the action (see Section 9).

6. COMPLIANCE COORDINATION.

    a.   FMO. Send the final draft and any supporting documentation to the Records Manager, Privacy Act officer, and Information Collections officer (Compliance Coordination Points (CCP)).

    b.   CCPs. Perform compliance checks, working with the AO to ensure compliancy. Once complete, send results to the FMO on DD 67 or by a digitally signed email.

c. <u>FMO</u>. Complete the form action once the compliance coordination is complete (see Section 9).

7. <u>REQUEST WAIVER FOR DIGITAL SIGNATURE REQUIREMENT</u>. If an OPR does not want to allow digital signatures on a form, then they must justify it on an MFR that describes why. Send the MFR to the FMO or LFO. If it is part of a form action request, include it with the DD 67 from the OPR; otherwise, send it directly to the FMO.

8. <u>REQUEST COLLECTION OF FULL OR TRUNCATED SSN</u>.

    a. <u>AO and OPR</u>. Review the policy and procedures in Reference (f), complete DLA Form 1950, and send to FMO.

    b. <u>FMO</u>.

        (1) Review DLA 1950 and coordinate with the Privacy Act Office on details of the collection. Approve or disapprove the request for SSN collection and notify the AO.

        (2) If approved, request the MFR from the OPR and continue with the form action.

9. <u>FINALIZE FORM ACTION</u>. <u>FMO</u>.

    a. Package the DD 67, compliance coordination record, master copy of the form, and supporting documentation (DLA 1950, MFRs, etc.) into the form action processing record.

    b. Update the forms inventory database and index files, and publish the form to the online inventory (or remove it from the inventory if a cancellation).

APPENDIX TO ENCLOSURE 3

SECTION 1 - PRESCRIBING FORMS

Document the use of a DLA form in an Agency issuance, which include DLA Regulation (DLAR), DLA Instruction (DLAI), DLA Manual (DLAM), DLA Enterprise Standard Operating Procedure (SOP), and Directive Type Memo (DTM, sometimes referred to as "policy letter").

If no issuance exists because the need is new, emerging, or was overlooked, then create a prescribing document or update a current one along with the form action request. In these cases, you have four choices:

1. Write and authenticate a new Issuance (or update a current one).
2. Have your J/D Code Director or PLFA Commander issue a DTM.
3. Have an Enterprise Business Cycle Control Officer (EBCO) issue an Enterprise SOP.
4. Request the FMO add your form and its use case to the Official Form Index.

In each case, use or approval of the form cannot take place until the prescribing document is updated and/or authenticated. In the case of a DTM, the form expires when the DTM expires. If the form is added to the Official Form Index, it will be canceled one year after its publication unless you prescribe it in another regulatory issuance.

You...	Responsible party...	Resulting in...
Write a new issuance or update a current issuance.	J5: Authenticates and publishes issuance.	New or updated DLA Issuance.
Draft a Directive Type Memo (DTM).	Your J/D Code Director/Commander: Signs and issues the DTM.	Signed and Approved DTM.
Work with an EBCO to issue an Enterprise SOP.	EBCO: Signs and issues the enterprise SOP.	Signed and Approved SOP.
Request your form and its use case be added to the Official Forms Index.	J5: Adds form reference and corresponding use case to the Official Forms Index.	Documented form requirement and use case.

Table 1.1

For more on Issuances visit: https://hqc.dla.mil/issuances/Pages/default.aspx

SECTION 2 - NUMBERING FORMS

All DLA forms must display an official number in the format "DLA Form ####, MMM YYYY." We number DLA forms as prescribed in DLAI 5310 (Reference (d)). Currently, there are official forms that PLFAs created before "We are DLA" began. These forms are numbered using older, legacy labels such as "DSCR Form" or "DLIS Form." The FMO will re-number these legacy forms as they are revised or reviewed; new forms out of the PLFA's will use the numbering system outlined here. AOs must coordinate any form re-numbering actions with updates to the corresponding prescribing documents.

The FMO assigns all form numbers. LFOs request form numbers from the FMO during the creation of a form. The FMO uses the table below as a guide when assigning numbers.

If the form's OPR is...	Then the number will be in this range...
Single Digit J/D Code	1 – 1999
DLA Energy	2000 – 2499
DLA Disposition Services	2500 – 2999
DLA Distribution	4000 – 4499
DLA Strategic Materials	4500 – 4999
DLA Aviation	5000 – 5499
DLA Land & Maritime	5500 – 5999
DLA Troop Support	6000 – 6499
DLA Installation Support	7000 – 7499
For example, if Installation support at Columbus is the OPR, then the form will be in the 7000 - 7499 range. However, if the form's OPR is Land & Maritime then the form will be in the 5500 - 5999 range.	

Table 2.1

Multiple forms under the same program that are very similar can be numbered in a series using the suffix -1, -2, etc. The use of the letter suffixes (-A, -B, etc.) is discontinued. Test forms will use a "-T" suffix.

Use the DD 67, Form Processing Action Request, to capture the final approval of a form action request.

For all DLA sponsored DD form actions, complete the DD 67 exactly as prescribed in DoD 7750.07-M, "DoD Forms Management Program Procedures Manual" (Reference (d)). DLA forms require coordination with CCPs only.

Table 3.1 shows who completes each part of the DD 67 and when for DLA form actions.
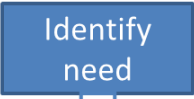
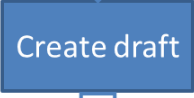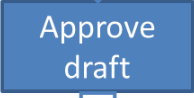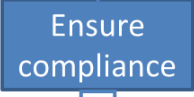## Form Action Process & DD Form 67

AO	Identify need	Complete blocks 1, 2, 3, 4, 7, 8, 9, 11, 13 (a – h) and 14. Sign in block 17.
Designer (LFO or FMO)	Create draft	Complete blocks 5 and 12. Note: May need to assist AO in completing blocks 13 a – h.
OPR	Approve draft	Sign in block 18.
CCP	Ensure compliance	Complete appropriate sections of block 15.
FMO	Approve form	Sign in block 20.

Table 3.1

SECTION 4 - OFFICIAL OR UNOFFICIAL

This Instruction governs official forms; however, what about unofficial forms? Unofficial forms are forms that serve a purpose but do not meet official form requirements. These forms are useful, but are not mandatory and are not numbered. Here are examples of unofficial, but useful forms:

Description	Examples
A form whose purpose is so generic that it is not easily differentiated from other similar forms.	Web page feedback form "Contact us" form
A form that serves as an aid or summarizes a package but does not collect new, unique information.	Checklists Coversheets
A form that does not have a defined set of required fields.	Templates Sample letter formats General information requests

<div align="center">Table 4.1</div>

An important characteristic and limitation of a non-official form is that you cannot make its use mandatory. You cannot require anyone to complete an unofficial form. Thus, if you require the information or want it in a standard format, it has to be an official form. If the intent is to use the form as evidential matter, then it has to be an official form. Also, you cannot use unofficial forms to collect PII nor can you use them to collect information from the public.
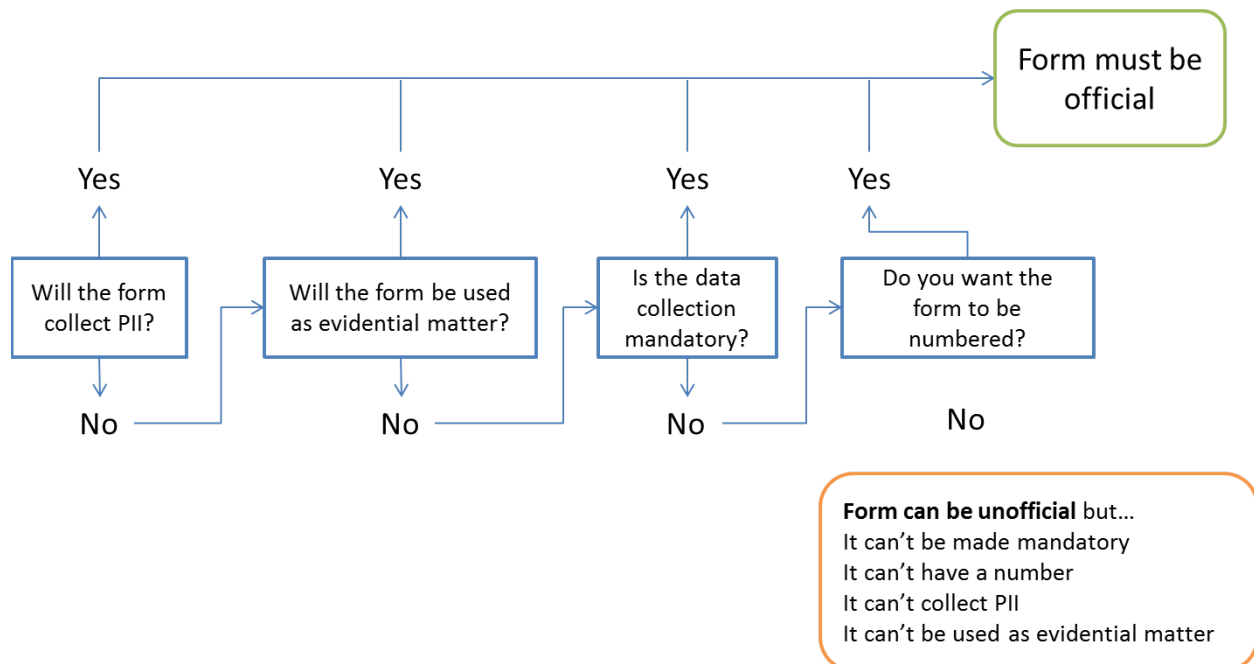

<div align="center">Figure 4.1</div>

CONSIDER COORDINATING LOCAL FORMS WITH:	IF THE PUBLICATION OR FORM HAS:
Legal	Legal implications, involves activities with potential environmental impacts, or the production, acquisition, or handling of hazardous materials
Privacy Act Office	Reviews forms that collect Personally Identifiable Information (PII).
Manpower/ Personnel	Affects manpower and organization programs that allocate or control manpower resources or evaluates manpower usage. Manages, provides, or affects medical services for military and civilians. Manages civilian or military personnel programs or manages social action programs (such as equal opportunity program). Manages or affects training and education programs, to include educational research, curriculum development evaluation, and review. Affects or otherwise applies to morale, welfare, recreation, and services. Have manpower, personnel, and/or labor implications, which require negotiations and bargaining with the Union. Affects Services programs designed to deliver capabilities to both garrisoned and deployed units. Impacts non-appropriated funded Services programs.
Operations	Develops or analyzes strategic, defensive, and tactical operations, to include operational readiness, planning, standardization, system development, evaluation, training, or command and control. Affects or involves international affairs related to training issues, including information disclosure to foreign governments.
Logistics and Installation	Concerns plans, design, development, testing, acquisition, maintenance, logistics support, and sustainment. Concerns managing real estate, facilities, and civil engineering or public works programs or provides facility services. Manage safety programs, such as Occupational and Environmental Safety, and Fire Protection. Involves activities with potential environmental impacts, or the production, acquisition, or handling of hazardous materials.
J6	Concerns plans, design, development, testing, acquisition, maintenance, logistics support, sustainment, automated information systems, software applications, and hardware equipment.
Planning and Programming Requirements	Develops or analyzes strategic, defensive, and tactical operations, which include operational readiness, planning, standardization, system development, evaluation, training, or command and control.
Planning/ Programming	Analyzes strategic, defensive, and tactical operations. Includes or affects resources, recapitalization, modernization, investments and divestment analyses, operational assessments, risk assessment frameworks, digital computer models and simulations, or lessons learned. It also has future force structure implications.
Chaplain	Manages or affects religious services, to include related morale and welfare programs.
Historian	Provides historical affairs services, which include historical writing, research, studies, analysis, and heraldry.
Safety	Involves safety programs such as Occupation Health and Safety Administration

	standards.

GLOSSARY

PART I. ABBREVIATIONS AND ACRONYMS

AO	Action Officer
CCP	Compliance Coordination Point
DD	Department of Defense, as in DD Form
DLA	Defense Logistics Agency
DLAI	Defense Logistics Agency Instruction
DLAM	Defense Logistics Agency Manual
DLAR	Defense Logistics Agency Regulation
DoD	Department of Defense
DoDI	Department of Defense Instruction
DTM	Directive Type Memorandum
FMO	Forms Management Officer
HQ	Headquarters
LFO	Local Form Officer
MFR	Memorandum for Record
OF	Optional Form
OPM	Office of Personnel Management
OPR	Office of Primary Responsibility
PII	Personally Identifiable Information
PLFA	Primary Level Field Activities
SF	Standard Form
SOP	Standard Operating Procedure
SSN	Social Security Number

PART II. DEFINITIONS

Unless otherwise noted, these terms and their definitions apply to this Instruction, only.

Action Officer. Individual who acts for the OPR to complete a form action.

Compliance Coordination. The process by which a form's compliance with privacy act, information collections, and records management programs is documented. Compliance coordination must occur on all creation and revision requests. It is optional (FMO's discretion) for modification and cancellation requests.

DD Form. A form approved by the DoD Forms Management Office, Washington Headquarter Services, for use by two or more DoD Components (see Reference (a)).

DLA Sponsored DD Form. A DD Form that is owned by a DLA activity and for which DLA has responsibility.

Electronic Form. A form designed to be completed electronically on a computer, tablet, smart phone, or kiosk. Most electronic forms are stand-alone files but can also be part of web sites and web applications, database interfaces, and/or mobile applications. DLA electronic forms are designed as PDF files unless this requirement is waived by the FMO. Even forms that are not completed electronically can be electronic forms if they are available for download and can be printed using a standard printer.

Exceptions. An approval to change the content, format (including software used to fill form), or printing specifications of an approved form. Exceptions to DLA forms must be approved by the FMO. Exceptions to DD or other forms must be approved by the office of primary interest.

Form. A fixed arrangement of captioned spaces designed for the efficient collection, display, compilation, transmittal, extraction, and/or analysis of prescribed information. Forms may be electronic or non-electronic.

Form Action Request. Official action to accomplish one of the following:

   Creation. The establishment of a new official form. This action requires compliance coordination.

   Modification. An administrative change that does not add or remove any field objects or substantially change the layout or text of a current official form. Modifications do not require compliance coordination and do not result in a new form version date.

   Revision. A substantial change to a current official form. This action requires completion of compliance coordination and results in a new form version date.

   Cancellation. The removal of a form from the official forms inventory.

Local Form Officer (LFO). A DLA employee who, having completed the appropriate technical training, has been authorized by the FMO to produce DLA forms.

Non-electronic Form. A form that, because of its intended use, is not suitable for electronic format. Most non-electronic forms require special construction and or special paper; examples include special certificates and equipment tags.

Non-official Form. A generic form that cannot be made mandatory as described below:

   A form whose purpose is so generic that it cannot be easily differentiated from other similar forms (such as web page feedback forms).

A form that serves as an aid but does not collect new, unique information (such as checklists or coversheets).

A form that does not have a defined set of required fields (such as formats or general information requests).

Office of Primary Responsibility (OPR). DLA organization that sponsors a form. The form's approving official (block 18 on the DD 67) represents the OPR's approval of the form's use case and design. The approving official must be at the Branch level or higher. If the form collects PII then the approving official must be at the Directorate/Office level.

Stakeholder. Any person or organization affected by or having a common interest in executing operations in order to meet the Agency mission.

Test Form. An official form that has a limited scope of users and a limited period (usually 3 to 6 months but can be up to 1 year.) A test form does not require a prescribing/describing document but still requires compliance coordination.