



DEPARTMENT OF THE NAVY  
UNITED STATES NAVAL ACADEMY  
121 BLAKE ROAD  
ANNAPOLIS MARYLAND 21402-1300

USNAINST 5213.2G  
28/AO  
26 Aug 2016

USNA INSTRUCTION 5213.2G

From: Superintendent, U.S. Naval Academy

Subj: UNITED STATES NAVAL ACADEMY FORMS AND INFORMATION  
REQUIREMENTS (REPORTS) MANAGEMENT PROGRAMS

Ref: (a) SECNAVINST 5210.16  
(b) OPNAV M-5215.1  
(c) SECNAVINST 5211.5 (series)  
(d) SECNAV M-5213. 1  
(e) Paperwork Reduction Act of 1980 (PL. 96-511) (NOTAL)  
(f) SECNAV M-5214.1  
(g) 5 CFR 1320.5

Encl: (1) Definitions

1. Purpose. To publish policies and assign responsibilities for managing and controlling United States Naval Academy (USNA) forms and information collections (reports).

2. Cancellation. USNAINST 5213.2F dated 21 Apr 2008.

3. Scope and Applicability. This directive applies to the offices of USNA and the Naval Academy Preparatory School (NAPS).

4. Objectives

a. To ensure that needed information is provided to USNA officials at the right time, in the best format, and at the lowest possible cost.

b. To ensure USNA forms and information collections adhere to the policies and procedures set forth in references (a) through (g).

5. Program Requirements

a. USNA forms will only be approved and added to the USNA official forms list if there are no higher echelon forms available to satisfy the information collection requirements (General

Services Administration Standard Form or Optional Form, Department of Defense, Department of the Navy, USNA). Creating a new form is the last available option for information collections at USNA.

b. Per reference (a), USNA forms shall only request information essential to mission accomplishment per reference (a).

c. A directive, notice, manual, or publication is required to support each form which is originated for Navy-wide or command-wide use. Below are the guidelines for citing forms and reports in directives.

(1) A form must be prescribed within the body of a directive and also cited in the forms paragraph. It must be cited in the format described here: 1) USNA; 2) Form number (SSIC, slash ("/") and number); and 3) Form title - all without commas; date is not required. Example: "USNA 5215/9 Clearance of Proposed Directive."

(2) Following the first citation of a form within the body of the text of a directive, the form is then cited with only the command designation abbreviation and form number; do not cite the title (e.g., "USNA 5215/9").

(3) The forms paragraph must include where the forms may be obtained and how information should be submitted. All USNA forms will be accessible on the official USNA Forms List on the Administrative Department's website and Naval Forms Online.

(4) Reports are cited at the first citation of each collection within a directive and in the information management control paragraph in the formats provided in reference (b).

d. Forms that solicit personal information directly from an individual shall contain a Privacy Act Statement (PAS) that apprises the individual of the authority that authorizes the collection, the purpose of the collection, who shall routinely have access to the information, and whether disclosure is voluntary or mandatory. The PAS format is provided in reference (c). When filled in, the form shall be marked FOR OFFICIAL USE ONLY. The PAS must match the PAS from the System of Records Notice that authorizes the collection of information. All forms containing personal information must be routed through the USNA Privacy Coordinator and DNS-36.

e. Form and information collections that may affect employees' conditions of employment shall be cleared through the USNA Human Resources office to the DON Labor Relations Program Office, Office of Civilian Human Resources to ensure compliance with Federal Labor Relations Laws.

## 6. Forms Design Standards

a. All USNA official forms will conform to the following design standards with the following exceptions: completely web based forms and electronic forms built into the USNA network that are completely filled out and submitted electronically, and forms that only require a signature and date, such as a waiver. The USNA Forms Manager will approve all exceptions to

the design standards. All USNA forms, regardless of format, shall adhere to all other provisions of references (a) through (g) and this instruction.

b. The following design standards supplement reference (d) and will be followed when preparing USNA forms using the design software promulgated by the Navy Forms Manager, except when precluded by special requirements or the functional use of the form as mentioned in paragraph 5.a.

(1) Specifications:

(a) Size: 8-1/2" x 11"

(b) Typography: text fonts are Arial 8 point (pt.) and all fill fonts are 10 pt.

(c) Ink: black

(d) Margins: 1/2" page margins

(e) Image size: 7-15/16" x 10-1/4"

(f) Format and Style: 1.5 pt. or 1/48" solid border on all sides

(2) Location of format elements and reproduction size of type:

(a) Form title: top left, bold capitals (caps), inside the border.

(b) Supporting directive: top right, all caps, outside the border.

(c) Office of Management and Budget (OMB) Control Number (when required): top right corner immediately below the supporting directive, all caps outside the border. This number, assigned by OMB, is assigned after it is posted in the Federal Register, when requesting protected personal information (PPI) on an individual member of the public.

(d) Form prefix, number, and date: Bottom left, all caps, outside the border.

(e) Form letters, formats, checklists, etc. are not considered forms and do not require form numbers unless the forms manager decides otherwise.

7. Action

a. Command Forms Manager. The Command Forms Manager is responsible for establishing and maintaining a USNA Forms Management Program per reference (d). The Command Forms Manager must:

(1) Maintain and submit changes to this instruction as appropriate.

(2) Review all submitted paperwork and approve all command forms for use at USNA.

(3) Liaise with higher authorities in conjunction with references (a) through (g) and this instruction.

(4) Maintain case folders on all current forms originated or sponsored by the command. A case folder must contain a copy of the form, the requiring directive, and any other materials relating to the form, including required supporting documents. When the form is cancelled, a copy of the canceling document must be kept. Form folders shall be arranged chronologically by number.

(5) Maintain the USNA Forms website.

b. Command Forms Assistant. The Command Forms Assistant must:

(1) Collect and review all submitted form documentation from the USNA Forms Sponsors.

(2) Ensure that forms do not violate the Privacy Act of 1974. Send all forms requiring a PAS to the USNA Privacy Coordinator for review.

(3) Assist the departments in determining the fastest and easiest method to design or revise a form.

(4) Revise or create all forms utilizing the Navy's official forms software.

(5) Review the proposed requiring document, ensuring that all necessary information is included in the forms paragraph.

(6) Provide a copy of the form to the USNA Information Management Control Officer (IMCO) if the form has an information collection (reporting) requirement. If a Report Control Symbol (RCS) is assigned, it must appear in the top right corner of the form immediately below the supporting directive.

(7) Maintain an automated log of all form numbers assigned.

(8) Assign an official form number to all approved USNA forms.

(9) Cancel all forms after notification from the originator that they are no longer required. Forward all cancelled forms containing information collection (reporting) requirements to the USNA ICMO for appropriate action.

c. USNA Forms Sponsors. USNA Forms Sponsors are charged with maintaining or creating USNA forms. USNA Forms Sponsors must:

(1) Annually review each sponsored form and all associated supporting paperwork.

(2) If creating a new form, the USNA Forms Sponsor must:

(a) Ensure the form is needed. Ensure the information requested is essential and is not duplicated on any existing forms by surveying the listings of each level of forms. Initiate a DD 67 Forms Processing Action Request.

(b) Prepare a USNA approved directive (i.e., instruction, notice, or order) to govern the existence of the form (include the directive number on the form so the form and directive can be matched). Office forms, i.e., forms remaining within an office, are exempt from this requirement. Obtain a RCS for forms that are part of an information collection (reporting).

(c) Complete DD 67 to request approval.

(d) Submit SECNAV 5213/1 SSN Reduction Review for all forms which collect full or partial Social Security Numbers, per reference (e).

(e) Submit OPNAV 5214/10 Report Analysis Data for all information collections (reports), per reference (f).

(f) Submit OMB 83-I Paperwork Reduction Act Submission for all public information collections, per reference (g).

(g) Draft a copy of the form, listing the data elements in logical order and, if needed, create easily understood instructions for completing the required information.

(h) Decide how the form is to be made available, where it is to be stocked, the estimated annual demand, and the number of responses expected.

(i) Provide a copy of the proposed form, instruction, notice, or order with a completed DD 67 to the USNA Forms Office for review and approval. All submissions should be made to forms@usna.edu.

(3) Notify USNA's forms office in writing when the form is to be changed or cancelled and, if necessary, remove the form from the requiring instruction, notice, or order by issuing a change transmittal or revision.

8. Records Management. Records created as a result of this instruction, regardless of media and format, must be managed per Secretary of the Navy Manual 5210.1 of January 2012.

9. Review and Effective Date. Per OPNAVINST 5215.17A, the USNA Forms Management Office will review this instruction annually on the anniversary of its effective date to ensure applicability, currency, and consistency with Federal, DoD, SECNAV, and Navy policy and statutory authority using OPNAV 5215/40 Review of Instruction. This instruction will automatically expire 5 years after effective date unless reissued or canceled prior to the 5-year anniversary date, or an extension has been granted.

10. Forms. DD Form 67 Form Processing Action Request is available at DoD Forms Management Program website: <http://www.dtic.mil/whs/directives/forms/index.htm>. SECNAV 5213/1 SSN Reduction Review, OPNAV 5214/10 Report Analysis Data, and OPNAV 5215/40 Review of Instruction, are available at Naval Forms Online: <https://navalforms.documentservices.dla.mil>. OMB 83-I Paperwork Reduction Act Submission is available at the Office of Management and Budgets website <https://www.whitehouse.gov/sites/default/files/omb/inforeg/83i-fill.pdf>. All forms are also at <https://www.usna.edu/AdminSupport/Forms%20Program/index.php>. All forms management forms must be submitted electronically to forms@usna.edu. OPNAV 5215/40 must be submitted electronically to admin-routing@lists.usna.edu.

  
W. E. CARTER, JR

Releasability and distribution:  
Non-Mids (Electronically)

## DEFINITIONS

1. Electronic Form. An officially prescribed set of data residing in an electronic medium with exact sequence as prescribed by the issuing component or that is used to produce a mirror-like image of the officially prescribed form. There are basically two types of electronic forms: one that is part of an automated transaction, and one where the image or data elements reside on a computer. These forms can be integrated, managed, processed, and transmitted through a component's information processing workflow systems.
2. Form. A fixed arrangement of captioned spaces designed for entering and extracting prescribed information. Any document, including letters, post cards, and memoranda printed or otherwise reproduced with space for filling in information, descriptive material, or addresses; or any format designed to structure the arrangement of such information. Certain printed items without fill-in space, such as contract provisions, instruction sheets, notices, tags, labels, and posters, may be treated as forms to identify and control them for reference, printing, stocking, and distribution, but do not come within the definition of forms as used in this instruction.
3. 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. A format is used instead of a printed form in such instances, requiring a less expensive and more effective method of collecting the desired information. Formats should not be used in place of a standardized form or to expedite a project. Formats often place an unnecessary burden on the respondent and fail to provide the needed data.
4. Information. Any communication or representation of knowledge such as facts, data, or opinion in any medium or form, including textual, numerical, graphic, cartographic, narrative, or audiovisual forms.
5. Information Collection (Report). Data or information collected for use in determining policy; planning, controlling, and evaluating operations and performance; making administrative determinations; or preparing other reports. The data or information may be in narrative, statistical, graphic, or any other form and may be displayed on paper, magnetic tape, on the World Wide Web, or other media.
6. Official Form. A form which is numbered, dated, titled, and designed per established Navy forms management criteria. Such a form may not be altered for local use or a substitute form used in place of it without concurrence of the form sponsor.
7. Originator. Any activity assuming responsibility for a form. The originator shall decide what items to include on the form, estimated annual usage, and form availability (i.e., stocking point or website). This information shall be submitted to the forms manager for approval. If the form will be used outside of the originators office, the originator must inform users in writing that the

form is required and also provide a signed copy of the requiring instruction, notice, or order to the command's forms manager.

8. Personal Information. Information about an individual that identifies, relates, or is unique to, or describes him or her; e.g., SSN, age, military rank, civilian grade, marital status, race, salary, home or office phone numbers, etc.

9. Public Information Collection. An information collection involving members of the public.

10. Sponsor. Person designated to take action on behalf of a form. No actions will take place in the life of a form without the sponsor's approval.

11. Unauthorized Form. An uncontrolled form, issued without an identifying prefix or number, and not compatible with any particular method of completion. Unauthorized forms need not be completed.