

**UNITED STATES COAST GUARD  
FORMS MANAGEMENT PROGRAM  
(FMP)**



**COMDTINST 5213.9A  
December 2020**



COMDTINST 5213.9A  
23 DEC 2020

COMMANDANT INSTRUCTION 5213.9A

Subj: COAST GUARD FORMS MANAGEMENT PROGRAM (FMP)

- Ref: (a) Department of Homeland Security Directive System, Forms Management, DHS-MD-141-02  
 (b) Department of Defense Forms Management Program (FMP) Procedures, DoD Manual 7750.08  
 (c) The Federal Records Act of 1950 (as amended), Pub.L. 81-754, 64 Stat. 578, codified as 44 U.S.C. § 2101 *et seq.*  
 (d) The Plain Writing Act of 2010, Pub.L. 111-274, 124 Stat. 2861 (as codified in 5 U.S.C.A. § 301 note)  
 (e) The Rehabilitation Act of 1973, Pub.L. 93-112, 87 Stat. 355, as amended through P.L. 114-95 (codified as 29 U.S.C.A. § 794d)  
 (f) Paperwork Reduction Act of 1995 (as amended), 44 U.S.C. § 3501 and 5 C.F.R. § 1320  
 (g) The Privacy Act of 1974 (as amended), 5 U.S.C. § 552a

- PURPOSE.** This Instruction establishes and promulgates policy for the Coast Guard Forms Management Program (FMP). It describes forms created and used by the Coast Guard and provides guidance to ensure they are developed and maintained properly in order to remain in compliance with security, privacy, information collections, content and accessibility laws, standards, and policy in accordance with References (a) through (g).
- ACTION.** All Coast Guard unit commanders, commanding officers, officers-in-charge, deputy/assistant commandants, and chiefs of headquarters staff elements must comply with the provisions of this Instruction. Internet release is authorized.
- DIRECTIVES AFFECTED.** Forms Management and Automation, COMDTINST 5213.9 is hereby cancelled.

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NON-STANDARD DISTRIBUTION:

4. DISCLAIMER. This guidance is not a substitute for applicable legal requirements, nor is it itself a rule. It is intended to provide administrative guidance for Coast Guard personnel and is not intended to nor does it impose legally-binding requirements on any party outside the Coast Guard.
5. MAJOR CHANGES. All forms will be reviewed for currency on a biennial basis by the Coast Guard Forms Management Program (FMP). Improved guidance and clarifications are made on the form sponsor's responsibility. No longer published separately, a list of active forms and acceptable software for the creation of new forms is now published on an ongoing basis at: [dcms.uscg.mil/forms](http://dcms.uscg.mil/forms) .
6. SCOPE AND AUTHORITIES. This Instruction applies to Coast Guard forms and does not provide guidance on forms that are created by the Department of Homeland Security, the Department of Defense, or other Federal Departments or Agencies. Requirements and best practices are provided for effective forms management including budgeting/funding, administering, creating/designing, maintaining, automating, and implementing Coast Guard electronic and paper forms. It is recommended the reader become familiar with the directives and publications that are noted throughout this Instruction and are listed in numerical series order: Coast Guard Military Medals and Awards Manual, COMDTINST M1650.25 (series); Coast Guard Civilian Awards Manual, COMDTINST M12451.1 (series); Information Management and Electronic Government (E-GOV), COMDTINST 5200.1 (series); Electronic Signatures and Management of Electronically Signed Records, COMDTINST 5200.5 (series); U.S. Coast Guard Information Collection Program, COMDTINST 5213.1 (series); The U.S. Coast Guard Correspondence Manual, COMDTINST M5216.4 (series); The Coast Guard Freedom of Information (FOIA) and Privacy Acts Manual, COMDTINST M5260.3 (series); U.S. Coast Guard Cybersecurity Manual, COMDTINST M5500.13 (series) (FOUO); U.S. Coast Guard Printing and Binding Regulations, COMDTINST M5600.6 (series); Directives, Publications, and Reports, COMDTNOTE 5600 (series); Printing of Executive Stationery for Routine, Official Ceremonies, and Special Events, COMDTINST 5603.1 (series); Standard Distribution List, COMDTNOTE 5605 (series); DHS Directive, Instruction No. 047-01-005, COMPONENT PRIVACY OFFICER, February 6, 2017; DHS Directive, Instruction No. 047-01-010, SOCIAL SECURITY NUMBER COLLECTION AND USE REDUCTION, June 18, 2019; and, DHS Privacy Policy Directive 047-01-007, Handbook for Safeguarding Sensitive PII, December 4, 2017
7. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS.
  - a. The development of this Instruction and the general policies contained within it have been thoroughly reviewed by the originating office in conjunction with the Office of Environmental Management, Commandant (CG-47). This Instruction is categorically excluded under current Department of Homeland Security (DHS) categorical exclusion DHS (CATEX) A3 from further environmental analysis in accordance with the U.S. Coast Guard Environmental Planning Policy, COMDTINST 5090.1 and the Environmental Planning (EP) Implementing Procedures (IP).
  - b. This Instruction will not have any of the following: significant cumulative impacts on the

human environment; substantial controversy or substantial change to existing environmental conditions; or inconsistencies with any Federal, State, or local laws or administrative determinations relating to the environment. All future specific actions resulting from the general policy in this Instruction must be individually evaluated for compliance with the National Environmental Policy Act (NEPA) and Environmental Effects Abroad of Major Federal Actions, Executive Order 12114, Department of Homeland Security (DHS) NEPA policy, Coast Guard Environmental Planning policy, and compliance with all other applicable environmental mandates.

8. DISTRIBUTION. Paper distribution will not be made of this Instruction. An electronic version will be located on the following Commandant (CG-612) websites:  
Internet: [www.dcms.uscg.mil/Our-Organization/Assistant-Commandant-for-C4IT-CG-6/The-Office-of-Information-Management-CG-61/Forms-Management/](http://www.dcms.uscg.mil/Our-Organization/Assistant-Commandant-for-C4IT-CG-6/The-Office-of-Information-Management-CG-61/Forms-Management/) and CGPortal: [cg.portal.uscg.mil/library/forms/SitePages/Home.aspx](http://cg.portal.uscg.mil/library/forms/SitePages/Home.aspx) .
9. RECORDS MANAGEMENT CONSIDERATIONS. This Instruction has been thoroughly reviewed during the directives clearance process, and it has been determined there are no further records scheduling requirements, in accordance with Federal Records Act, 44 U.S.C. 3101 et seq., National Archives and Records Administration (NARA) requirements, and the Information and Life Cycle Management Manual, COMDTINST M5212.12 (series). This policy does not have any significant or substantial change to existing records management requirements.
10. BACKGROUND. The objective of forms management is to ensure that forms are standardized throughout the Coast Guard and comply with DHS standards, including accessibility, security, and privacy, as applicable. This includes standardization of forms that are accessible either by the public or are for internal use only forms. The Program Management Office (PMO) or the Office of Primary Responsibility (OPR) typically owns the forms. There are many benefits to utilizing forms, including: simplify and reduce paperwork and document processing; gain efficiency through automation and streamlining processes; reinforce standardization; reduce systems operating cost and increase serviceability by developing forms that are easy to read, fill-in, transmit, process, and retrieve; reduce storage and production costs; ensure automated forms are managed and controlled; and comply with the applicable laws and regulations in References (a) through (g).
11. DEFINITION OF A FORM. A form is a fixed arrangement of captioned spaces designed for entering and extracting prescribed information to satisfy a valid need. Official forms must be properly designed and must contain a designation and form number. The medium of a form may be in preprinted paper, or be electronic. An electronic form may have data residing in an electronic medium used to produce mirror-like image of the officially prescribed form, or an electronic form which prescribed files for collecting data can be integrated, managed, processed, or transmitted through an organization's information technology system(s). Coast Guard forms are generally considered to include any authorized worksheet, checklist, template, table, or pre-formatted memorandum with a designation and form number, with a program sponsor, is approved by the FMO, and published by the FMP. Appendix A describes the many types of forms used in the Coast Guard. Appendix B describes form design standards.
  - a. Not a Form. A Coast Guard form that does not contain designations nor form numbers, and is not approved by the FMO is considered bootleg, and not official.
  - b. Discussion. A form is tool that performs a function in work communication. A form typically initiates an action, records a transaction, or reports something. There are many U.S.

Government forms alphabetically by agency and retrievable at [usa.gov/forms/](http://usa.gov/forms/) . |

12. POLICY AND REQUIREMENTS FOR FORMS MANAGEMENT. New or revised forms must be based on a program or mission need as determined by the originating program office and should be supported by a Coast Guard Directive or similar authority. This authority should be included on the form when practicable. The information collected on the form must be limited to that which is essential to accomplish a mission-related function or is necessary for the efficient and economical operation of the Coast Guard. Prior to publication, all forms must be compliant with Section 508 of the Rehabilitation Act of 1973 and have received the FMO approval. Forms should display the records disposition schedule reference when practical. Forms must also contain a Privacy Act Statement or Privacy Notice when applicable and be compliant to the latest security standards. Forms which are used to gather information from U.S. State, Local, and Tribal governments or the public must display the OMB control number, burden statement, and expiration date on the form (if required) per Reference (f).
13. ROLES AND RESPONSIBILITIES. Roles for those who manage electronic and paper forms are listed as follows;
- a. The Coast Guard Form Sponsor. The form sponsor is typically the owner of the related Directive. Each form must have a designated owner and sponsor, typically a Directorate or PMO. The form sponsor must take a lead role in proactive forms management and act upon the biennial assessment by Directives and Publications, FMP (Commandant, CG-612) especially when the form is deemed out of date or non-compliant with current standards. Additionally, the forms sponsor is required to review the form every two years to verify if the form is still relevant, can be combined with another form, requires updates, or must be cancelled. The forms sponsor must coordinate with the designated FMO and must be familiar with Appendixes A through E.
  - b. Chief Information Officer, Assistant Commandant for C4IT (CG-6). The CIO is responsible for ensuring overall accountability of the FMP for the Coast Guard with the Department of Homeland Security. The CIO FMP undergoes periodic audit review. This review determines compliance with applicable authorities and adequacy of the forms program, according to the standards and best practices identified in collaboration with the DHS Forms Management Council.
  - c. Senior Information Security Officer (SISO), Commandant (CG-62). The SISO is responsible for ensuring that security standards are compliant with requirements of the Defense Information Network to include adherence to Security Technical Implementation Guides (STIGs). The SISO must also consult with Coast Guard Cyber Command and other stakeholders to advise on emergent security requirements including cloud security for forms.
  - d. Office of Information Management, Commandant (CG-61). The Office Chief is responsible for the forms program administration and ensures a FMO is assigned and that forms for Coast Guard use remain compliant in the areas of privacy, security, information collections, Section 508, and the Freedom of Information Act. Ensures that forms are published, retrievable, and have been cleared by an official representing the Privacy Act of 1974 and the Rehabilitation Act and Paperwork Reduction Act. Ensures all forms undergo a Section 508 test before final publication.

- e. Directives and Publications Division, CG Forms Management Program, Commandant (CG-612). The Director is responsible for the forms program administration and ensures a FMO is assigned to manage the day-to-day functions of forms management, including programmatic and technical aspects of form assessment and provides consultation support. This includes coordination with General Services Administration (GSA) and other outside agencies with regards to the FMP. All forms inquiries must be directed to the forms inbox [USCG.Forms@uscg.mil](mailto:USCG.Forms@uscg.mil).
  - f. Accessible Systems and Technology Program (ASTP); Section 508, Commandant (CG-612). All electronic forms must pass the most current Section 508 accessibility standards before being published. Electronic forms not currently in compliance must be updated. Note, some historical guidelines apply prior to the turn of the millennium. [Section.508@uscg.mil](mailto:Section.508@uscg.mil) may be contacted for further guidance on a case-by-case basis.
  - g. Forms Management Officer(s), Commandant (CG-612). The FMO provide consultation support to sponsors on how the forms program works. The FMO assists in the revision or creation of forms under their respective programs in the areas of design and layout, Section 508 requirements, and other technical aspects of form assessment. This includes coordination with Coast Guard Printing Program, Commandant (CG-612) and Surface Force Logistics Center (SFLC) for paper forms. The FMO must be familiar with Appendix D. This appendix provides expanded roles and responsibilities of FMO.
  - h. Privacy Officer, Office of Privacy Management, Commandant (CG-6P). The Coast Guard Privacy Officer must review and approve all proposals for new, revised, or reprinted forms for privacy, and information collection considerations prior to final publication in accordance with the Coast Guard Freedom of Information (FOIA) and Privacy Acts Manual, COMDTINST M5260.3 (series), and the U.S. Coast Guard Information Collection Program, COMDTINST 5213.1 (series). A Privacy Threshold Analysis (PTA) must be completed for all new, revised, or reprinted forms, and in most cases, a Privacy Act Statement or Privacy Notice will be required. Programs must contact CG-6P or the FMO, Commandant (CG-612), at the onset of form development for the latest PTA, Privacy Act Statement, and Privacy Notice templates. CG-6P will review the aforementioned documents and submit to DHS Privacy to determine if any additional privacy compliance documentation or Office of Management and Budget (OMB) action is required. Once DHS Privacy has adjudicated the PTA, Privacy Act Statement, and/or Privacy Notice, CG-6P will provide a copy to CG-612 and the Program and advise of any additional requirements. CG-6P will notify the FMP of any applicable expiration dates upon approval, or if revisions are required prior to approval.
  - i. Coast Guard Printing Program, Commandant (CG-612). The printing program is responsible for ensuring printing procurement process in the Coast Guard and can assist form sponsors with the process to procure their hardcopy paper forms via the Government Publishing Organization (GPO). For printing paper-based forms, contact the Lead Printing Specialist at [HQS-SMB-P-G@uscg.mil](mailto:HQS-SMB-P-G@uscg.mil) for further guidance.
  - j. Surface Force Logistics Center (SFLC) Baltimore. SFLC is responsible for stocking and distribution of paper forms as needed, until obsolete. This includes receiving, tracking paper form requests, and coordinating with the Coast Guard Printing Program, Commandant (CG-612) for paper form cancellations.
14. FORMS/REPORTS. The forms referenced in this Instruction are available on the Coast Guard Standard Workstation or on the Internet: [www.dcms.uscg.mil/Our-Organization/Assistant-](http://www.dcms.uscg.mil/Our-Organization/Assistant-)

Commandant-for-C4IT-CG-6/The-Office-of-Information-Management-CG- 61/Forms-  
Management/ .

15. REQUEST FOR CHANGES. Units and individuals may formally recommend changes through the chain of command using the Coast Guard memorandum. Comments and suggestions from users of this Instruction are welcomed. All such correspondence may be emailed to Commandant CG-612 at [USCG.Forms@uscg.mil](mailto:USCG.Forms@uscg.mil) .

/DAVID M. DERMANELIAN/  
Rear Admiral, U. S. Coast Guard  
ASSISTANT COMMANDANT FOR C4IT (CG-6)

- Appendix A. Select Definitions and Form Types
- Appendix B. Form Design Standards
- Appendix C. Process for Creating New or Revising Existing Forms
- Appendix D. Forms Management Officer Duties and Responsibilities
- Appendix E. Required Forms



## Appendix A. Select Definitions and Form Types

1. Form. A form is a fixed arrangement of captioned spaces designed for gathering, organizing, and transmitting prescribed information quickly and efficiently. The form may be hard copy (paper) or soft copy (electronic).
2. Paper Form. A paper form is a hard copy document made up of a fixed arrangement of captioned spaces designed for gathering prescribed information. This definition also includes Automated Data Processing (ADP) system forms preprinted on continuous feed paper or overlays used to generate pre-formatted computer outputs.
3. Electronic Form. An electronic form, referred to as automated form, is a representation or facsimile of a prescribed form that resides in an electronic medium. The electronic form must have the capability for integration into the Coast Guard's computerized information systems, and most Commercial Off-The-Shelf (COTS) systems so that owners can manage their forms and users, including members of the public, are able to access and fill out necessary forms.
4. Incident Command System (ICS). ICS forms are used throughout the Coast Guard in times of natural disasters and emergencies. The letters "ICS-CG" before the form number identifies the form. This is a hybrid form standardized by FEMA for use during natural or man-made disasters, but can be tailored to a specific agency such as the Coast Guard to meet the needs of the agency.
5. Standard Form (SF). A form developed by a federal agency for use in two or more federal agencies and approved by GSA for *mandatory* government-wide use. Applies to both paper and electronic forms. The letters "SF" before the form number identifies the Standard Form. Note that the Coast Guard is not an owner of any SF and does not maintain these forms. These are frequently used by the workforce and may be retrieved from GSA.
6. Optional Forms (OF). Optional Forms are forms developed for use in two or more agencies and approved by GSA for *non-mandatory* government-wide use. The letters "OF" before the form number identifies the Optional Form. The Coast Guard is not an owner of any OF's and does not maintain these forms. These are frequently used by the workforce and may be retrieved from GSA.
7. Department of Homeland Security (DHS) Form. A form approved by the DHS Forms Management Officer for use by two or more DHS components. DHS component forms may be found at: [dhs.gov/dhs-forms-portal](https://dhs.gov/dhs-forms-portal) . It is authorized and encouraged to use existing DHS forms when available without change resulting in costly component customization. Revising DHS forms for Coast Guard use is strongly discouraged. Sponsors insisting on revising DHS forms must provide written justification to the Privacy Officer, Office of Privacy Management, Commandant (CG-6P) along with the authority/regulation and cost-based analysis to illustrate why the Coast Guard should not use the established DHS form.
8. Department of Defense (DD) Form. A form approved by the DoD Forms Management Officer for use by two or more DoD or Office of Secretary of Defense components.

9. Other Government Agency (OGA) Form. Other Government Agency forms are produced by other agencies and may be adopted for Coast Guard use to fulfill a requirement. OGA forms are owned and managed by their respective agencies. The modification of the OGA forms are typically not made unless explicit written consent is granted by the owner.
10. Coast Guard Form. Coast Guard “CG” forms are prescribed by the program manager for and used by at least two units, or the public in conducting Coast Guard business. Coast Guard Headquarters specific “CGHQ” forms are for routine use at Headquarters, although in some circumstances may be used to gain efficiency Coast Guard wide. In the Coast Guard, a form approved by the CG Forms Management Officer (FMO) is assigned an authorized form number.
11. Local Coast Guard Unit Forms. Local forms are those created by Unit Commanding Officers (CO)/Officer-in-Charge (OIC) specifically for internal use within their respective command only. Local forms are created for convenience and specific uses when a Coast Guard form is not applicable. However, these are highly discouraged due to changes to privacy, security, and accessibility form requirements. It is strongly recommended that the local unit contact [USCG.Forms@uscg.mil](mailto:USCG.Forms@uscg.mil) to identify an existing form or recommend the potential creation of a new official Coast Guard form for their needs.
12. Coast Guard One-Time Use Forms. A specialized form created for a specific emergency response such as a national emergency or other incident response. These forms are valid for a limited duration and represent one-time use. All one-time use forms expire 12 months after the form is finalized. All one-time use forms must still go through the new form creation process and be fully compliant with all privacy, security, and accessibility requirements. An expiration date must be placed at the bottom of the form outside the border.
13. Unauthorized Form. An unauthorized form is an unapproved form created by users. These forms are duplicative, inconsistent with forms design standards, and do not have an approved Coast Guard form number. Most importantly, these unauthorized forms are unlikely to be compliant with all privacy, security, and accessibility requirements. Automated unauthorized forms can affect database management systems by collecting data in an incorrect format or prevent access to other users. Unauthorized forms are not to be placed on Coast Guard servers, portals, or websites.
14. Public Use Forms. For forms applicability, the public is considered to be individuals, partnerships, associations, corporations, business trusts, legal representatives, organized groups of individuals, states, territories, tribal or local governments, or components thereof. Current employees of the Federal Government are not considered members of the public for the collection of information within the scope of their employment. Public use forms are forms that collect information from the public. Public use forms must conform to the standards as set forth in this instruction.
15. Coast Guard Forms Electronic Library. The electronic library is a database of all Coast Guard FMO approved forms. The FMO will retain approved Coast Guard forms and will serve as the distribution point for authorized forms for the Coast Guard. The library will serve as the final repository for all approved electronic forms. Paper forms that are current are kept at SFLC or with the sponsor.

## Appendix B. Form Design Standards

1. Form Design Standards. To ensure regulatory and agency compliance, all forms will incorporate the standards as defined in this Instruction. The effectiveness of a form in capturing data is dependent on the design of the form. Forms must be easy for the user to fill out and have a functional layout and a logical sequence.
2. Form Size. Except for certificates, tags, and labels, forms must be designed to 8 ½ x 11 inches.
3. Fonts. Text font will be Arial for all captions. A caption is a heading or title. It can also refer to the field names of the form such as name, date, phone number, or address.
4. Pitch/Font Size. The minimum pitch for all forms is 8-point. This pitch may be adjusted to suit the needs of the form. The pitch in the body shall not exceed 12-point.
5. Borders and Margins. Except for certificates, tags, and labels, the entire body of a form must be enclosed within a lined border. Unless the form has special requirements, use ½ inch page margins. Use 1-point solid border for all four sides.
6. Form Layout. Forms must be designed in box-style with fillable fields. Group common items together on the form. Sections may be used.
7. Form Title/Main Header. The top of the form is reserved for DHS/USCG identification and form title. The first line will be: U.S. DEPARTMENT OF HOMELAND SECURITY in all capital letters, Arial font, 10 pitch, centered. The second line will be: U.S. COAST GUARD, in all capital letters, Arial font, 10 pitch, centered. The third line will be the form **TITLE** in all capital letters, Arial font, 12 pitch, bolded, and centered. The title must be brief, specific, and meaningful. Eliminate unnecessary words such as “form” or “label.”
8. Sub-Titles/Sections. Sub-titles/Sections in the body of the form must not detract from the title requirement of the form. The pitch must be, at a maximum, one pitch smaller than the title pitch. The pitch may be adjusted to suit the needs of the form without exceeding the pitch of the title. The section title must be centered or left-justified and bolded. Ensure all sections are consistent. For example, if Section 1 is left-justified and bolded, all sections that follow must be left-justified and bolded. Sub-titles/sections may be sentence-case or capitalized. All sub-titles/sections shall be in the same heading not to exceed the heading of the main title.
9. Form Number. The bottom-left-corner is reserved for the form number (i.e., CG-1234) and the revision date. The revision date will be in the (MM/YY) format, Arial font, no greater than 10 pitch. Form numbers and revision dates will always be outside the border, left justified. The revision date will always be after the form number and formatted as such: CG-1213 (MM/YY).
10. Page Numbering. The bottom-right-corner is reserved for page numbers on forms with multiple pages. Single-page forms will not have a page number. The page number will be in the “Page x of x” format, Arial font, no greater than 10 pitch for multi-page forms. Single-page forms will not have a page number. Page numbers will always be outside the border, right justified. Page

number will be in the same line as the form number and revision date.

11. Supersession Notice. Center the supersession notice at the bottom of the form outside the border, in capital letters. Standard supersession notices used on forms include: “PREVIOUS EDITION IS OBSOLETE.” Previous versions of this form are no longer authorized for use. “PREVIOUS EDITIONS AUTHORIZED.” Previous versions of this form are authorized for use. Font will be Arial, 10 pitch, centered.
12. Instructions. Placement of instructions should be consistent on the entire form and may not establish policy or assign responsibilities. If the instructions are brief, they can be included in the individual captioned boxes or in parentheses after the block or caption title. If instructions are lengthy, use a separate page. Instructions should be limited in length and should only provide guidance for completion of the form.
13. Abbreviations and Acronyms. Spell out abbreviations and acronyms the first time they are used and follow with the abbreviation or acronym in parentheses. After that, use only the abbreviation or acronym. Exceptions may be made for common, widely-known acronyms.
14. Illustrations or Graphics on a Form. Except for certificates, the use of decorative illustrations, graphics, or logos is prohibited on electronic forms, and must be minimized on paper forms.
15. Signature Fields. The sponsor must determine signature type for the form and whether an electronic signature will lock specific fields or all form fields once signed.
16. Attachments. Forms that ask for attachments to be included within the form are restricted. Only .pdf file formats are allowed due to cyber security requirements. There are no exceptions.
17. Submit Buttons. Buttons placed on forms to submit through email are no longer authorized. Forms containing submit buttons must be immediately revised due to updated cyber security requirements.
18. Email Links. Email links in forms are only authorized if the link is inactive. Forms containing email links must be revised due to updated cybersecurity requirements.
19. Social Security Number (SSN) Reduction. The collection of SSNs must be reduced or eliminated wherever possible. Forms collecting SSN must properly document the authority for that use (i.e., a written justification for the collection, retention, or use of the SSN is required). Contact the Coast Guard Office of Privacy Management at [HQS-DG-M-CG-61-PII@uscg.mil](mailto:HQS-DG-M-CG-61-PII@uscg.mil) for further guidance.
20. Privacy Act Statement (PAS) / Privacy Notice (PN). Pursuant to 5 U.S.C. § 552a, agencies are required to provide a Privacy Act Statement to all persons asked to provide personal information about themselves, which will go into a system of records (i.e., the information will be stored and retrieved using the individual’s name or other personal identifier such as a name, EMPLID, or SSN). In cases where the collection is not part of a system of records, but is considered privacy sensitive, a Privacy Notice is required. All Privacy Act Statements and

Privacy Notices must be reviewed by Commandant (CG-6P) and approved by the DHS Privacy Office prior to posting on the form. If required, the “Privacy Act Statement” or “Privacy Notice” must be centered with Arial font, a minimum of 10 pitch, and bolded. The PAS/PN shall be included in the first page of the main form and located directly below the form title in its own section and shall not be amended or edited from the approved version. An alternate location of the PAS/PN section may be placed at the bottom of the main page inside the border. The PAS/PN section shall not be separated from the main form. Placing the PAS/PN section in the instruction page is not authorized. The pitch of the PAS/PN section may be adjusted to suit the needs of the form without exceeding the pitch of the Title.

21. OMB Approval. Anytime the Coast Guard collects information from any person or group other than Federal employees, per provisions of the Paperwork Reduction Act of 1995 (as amended), the CG forms must be specifically approved by OMB. Any such form being considered for adoption, or in use and not presently cleared through OMB, must be reported to Commandant (CG-6P) at [USCG.Collections@uscg.mil](mailto:USCG.Collections@uscg.mil) and FMO at [USCG.Forms@uscg.mil](mailto:USCG.Forms@uscg.mil).
22. OMB Number and Expiration Date. The OMB control number and expiration date must be displayed on forms that are used to collect information from the public. On the top-right-corner of the form, the first line will contain the OMB control number and is formatted as follows: OMB No. 1625-XXXX. The second line will contain the expiration date and is located directly below the OMB number. The expiration date will be formatted as follows: Expires: MM/DD/YYYY. The CG often issues certificates associated with an information collection. These certificates have expiration dates different from the OMB Expiration Date. To prevent confusion between the OMB Expiration Date and the expiration date of issued certificates, the OMB Expiration Date may be omitted. Omission of OMB Expiration Date must be approved by OMB. Contact the Paperwork Reduction Act (PRA) Manager for further guidance at [USCG.Collections@uscg.mil](mailto:USCG.Collections@uscg.mil). The OMB control number and expiration date must be placed inside the border unless it detracts from the meaning of the form. In such cases, these two items may be placed outside the border. Font will be Arial. Pitch may be adjusted to suit the needs of the form as defined in paragraph four.
23. Burden Statement. An agency disclosure notice known as the Burden Statement must be displayed on all forms that has an OMB control number. The notice must be displayed across the top of the form, immediately below the form title. If the section directly below the title has a PAS/PN, place the burden statement directly below the PAS/PN. An alternate location of the burden statement is at the bottom of the front page, inside the border, either before or after the PAS/PN. The Burden Statement must be of this format: “An agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a valid OMB number. The Coast Guard estimates that the average burden for this report is ‘X’ minutes/hours. You may submit any comments concerning the accuracy of this burden estimate or any suggestion for reducing the burden to: (complete Coast Guard Program Office mailing address) or Office of Management and Budget, Paperwork Reduction Project (OMB #-Collection #), Washington, DC 20503.”

## Appendix C. Process for Creating New or Revising Existing Forms

1. Process for Creating or Revising a Form. All forms must go through a formal review process in consultation with the Coast Guard Forms Management Officer (FMO) regardless of whether the form is a proposed revision or the proposed creation of a new form. Commandant (CG-6P) must review and approve the form prior to publication to ensure compliance with privacy policy. The PRA Manager must also review the form for potential collection of information from the public. Clarifications on process may be obtained from the FMO at [USCG.Forms@uscg.mil](mailto:USCG.Forms@uscg.mil).
2. Prescribing Directive. As a best practice, and essential for user experience, the description of the way a form is prepared, submitted, used, and its relation to fulfilling a mission must be prescribed in a directive. Additionally, it is the responsibility of the sponsor as the promulgating office to provide effective instructions for the forms use. The sponsor is also responsible for ensuring the correct statute (i.e., 10 U.S.C.), regulation, or policy is posted on the form. The FMO will check for sufficiency and reject forms that do not correlate with the mission, function, or activity. The prescribing directive, statutory/regulatory authority, or Public Law prescribing the use and availability of the form may be a final version or draft directive, as forms are often built in conjunction with directive creation or revision.
3. Report Information and Authorization Record, Form CGHQ-3342. This form starts the process. The sponsor of the form must obtain Form/Report Information and Authorization Record, Form CGHQ-3342, from [dcms.uscg.mil/forms](http://dcms.uscg.mil/forms) to begin the process for the creation of a new form or the revision of an existing form. The sponsor should contact the FMO at [USCG.forms@uscg.mil](mailto:USCG.forms@uscg.mil) and include the following, when practicable, with each request:
  - a. A signed Form CGHQ-3342 by Division Chief or higher with a listing of required data elements for each form, if applicable.
  - b. Newly created forms will be issued a Coast Guard form number by the FMO. These assigned form numbers are typically based on the SSIC of the prescribing directive. However, variations may occur. Once a form number is reserved by the FMO, the sponsor must execute the creation of the form within six months. Otherwise, the form reservation will be automatically cancelled and the FMO will return the form number back to the unassigned list for future use.
  - c. Outsourcing is often required for forms creation, but not always. Highly complex forms are typically outsourced. Provide a draft, template, or paper copy for a new form request in order to obtain a price quote for the cost of creating a new form. The FMO will assist the sponsor and acquire this price quote.
  - d. For revised forms, the proposed changes should be itemized and must be included in the vendor price quote request. Additional required changes may need to occur in order to bring the form into compliance, such as adding privacy statements, or to meet cybersecurity standards.
  - e. Should outsourcing be necessary, after FMO concurrence, a completed Purchase Request (PR) is submitted by the sponsor through the Finance and Procurement Desktop (FPD) application. The Vendor Price Quote and Independent Government Cost Estimate (IGCE) must be sent separately

to Commandant (CG-9124) at HQS-SMB-SAPRequirements@uscg.mil . The Contracting Officer (KO) from CG-9124 will process the PR and the two documents for review. After processing, the KO awards the contract and notifies the vendor and FMO via email. FMO will then inform the vendor to begin work. Please note an existing contract may also be leveraged.

4. Forms Review. All sponsors must review revised or newly created forms to ensure requirements are met. Review of printed, hard-copy forms must be coordinated with CG-612 Publications Division prior to printing.
  - a. For electronic forms, the FMO will forward the first draft to the sponsor upon receipt from the vendor. Sponsor review must consist of actual testing of the form to ensure requirements are met. Field testing is highly encouraged to mitigate issues with the form. The FMO will inform the vendor to finalize the form when the FMO has received instruction from the sponsor to finalize the form. The review process may, at times, go back-and-forth between sponsor-FMO-Vendor and vice versa until the sponsor finalizes the form. Review of the form must be completed within 90 days from receipt of the first draft from the FMO except for Public Use Forms. The review process will continue until requirements are met. At that time, the sponsor will notify the FMO to finalize the form. All forms will be published in CGPortal but not all forms are published on the DCMS website. Certificates are published to CGPortal only. Sponsors may request that the FMO post a form only to CGPortal in accordance with their program requirements.
  - b. Prior to starting work on a form, inform the vendor that the form is a Public Use Form to indicate that the form will be delayed in being finalized until OMB approves the form. Due to the lengthy validation process, approval from OMB may take up to 12 months. These forms cannot be finalized until OMB has made a final determination. When OMB concludes on a form, the PRA Manager will notify the FMO to complete the form. The FMO will then notify the vendor to finalize the form. Public use forms must be published to the DCMS website to ensure the public has access to those forms. These forms may also be published on the sponsor's website.
  - c. For printed hard-copy forms, refer to Printing of Executive Stationery for Routine Use, Official Ceremonies, and Special Events, COMDTINST 5603.1B and United States Coast Guard Printing and Binding Regulations, COMDTINST 5600.6 series and submit printing requirements to CG-612 Publication Division at HQS-SMB-P-G@uscg.mil .
5. Coordination Role in Outsourcing. Due to the complexity of certain forms, coordination between the PM and the vendor may be required. The sponsor must inform the FMO that a meeting or phone conference with the vendor is needed. The FMO coordinates the meeting between the PM and the vendor. All three participants must be present to ensure the scope of the meeting/conference is within the scope of this Instruction.
6. Forms Payment. A PR is the only official means of paying for the revision or creation of forms. Funds Transfer Authorization (FTA) or credit card purchases are no longer authorized.

## Appendix D. Forms Management Officer Role

1. CG Forms Management Officer (FMO). The Forms Management Officer (s), as designated, serve the Deputy CIO within the Office of Information Management (CG-61) to ensure the Coast Guard Forms Management Program (FMP) is managed appropriately and aligns to DHS standards and the requirements for publishing forms on the DoDIN. The following functions are performed, but not limited to:
  - a. Represents the CIO as FMO.
  - b. Coordinates with form sponsor, and other key stakeholders to ensure publication quality/standards are maintained.
  - c. Conducts biennial forms audit of all forms for currency.
  - d. Assesses new and revised form requests for organizational compliance.
  - e. Advises form sponsor of current routing process for approval, to include privacy, records management, security, information collections, Section 508 compliance, and the Freedom of Information Act.
  - f. Coordinates with programs on the use of unauthorized forms to obtain compliance, or discontinue its use.
  - g. Maintains a library of past and current forms.
  - h. Creates and maintains a records file plan consistent with the FMP. Establishes and maintain historical, alphanumeric, and functional electronic folders of all approved forms.
  - i. Implements standards and guidelines for developing and approving forms in accordance with this instruction.
  - j. Provides technical advisement to requesting offices in forms composition, preparation, and reproduction. Outsourcing of technical changes may be required by sponsor. If so, assist sponsor to obtain a price quote from the vendor (new or revised form).
  - k. Assigns form numbers for CG and CGHQ forms, this includes assigning revision edition dates.
  - l. Coordinates with SFLC of all changes to paper forms via a form CGHQ-3932, Change Notice to Paper Forms.

**Appendix E. Required Forms**

(Retrieve latest version at [cg.portal.uscg.mil/pages/main.aspx](http://cg.portal.uscg.mil/pages/main.aspx))

Form/Report Information and Authorization Record, Form CGHQ-3342

Change Notice to Paper Forms, Form CGHQ-3932