

FORMS MANAGEMENT PROGRAM (FMP)



**COMDTINST 5213.9B
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COMDTINST 5213.9B

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COMMANDANT INSTRUCTION 5213.9B

Subj: 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
(h) Coast Guard Human Research Protection Program, COMDTINST 6500.1 (series)

1. **PURPOSE.** This Instruction establishes and provides policy guidance for the Coast Guard's Forms Management Program (FMP). The FMP ensures, in consultation with Coast Guard subject matter experts, that applicable laws, standards, and best practices of security, privacy, information collections, correspondence, accessibility, and customer end user experience are considered and applied. Forms created for and used by the Coast Guard must be designed, tested, published, maintained, reviewed, and cancelled in accordance with the guidance in this Instruction and with References (a), considering best practice of Reference (b) for a Department of Defense Information Network (DoDIN) publishing environment, and in accordance with References (c) through (g). This Instruction does not govern Microsoft Office's Microsoft Forms, which are not official Coast Guard forms, and could cause confusion to the workforce due to the naming convention. Microsoft Forms does not use the same software and are instead a tool that could be used for surveys and polls and other analytic capabilities; Sponsors should refer to Reference (h) for further guidance on human research protections.

2. 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.
3. AUTHORIZED RELEASE. Internet release is authorized.
4. DIRECTIVES AFFECTED. United States Coast Guard Forms Management Program, COMDTINST 5213.9A is hereby cancelled.
5. 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.
6. MAJOR CHANGES. Improved internal pre and post publishing testing internal controls are applied to the FMP. Form review is integrated into the Directives System publishing process. Expiration dates now apply to align with Commandant Instructions; a minimum 5-year review, and 10-year expiration (a shorter timeline is required for information collection forms). Specific design, testing, and other detailed procedures are shifted into a Forms SOP and may be accessed on the Coast Guard's FMP Microsoft SharePoint (internal site).
7. 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. It is recommended the reader become familiar with the following resources including directives and publications listed in numerical series order below:

Coast Guard Military Medals and Awards Manual, COMDTINST M1650.25 (series);

Coast Guard Civilian Awards Manual, COMDTINST M12451.1 (series);

U.S. Coast Guard Information Collection Program, COMDTINST 5213.1 (series);

Directives System Program; Commandant Instruction (CI), ALCOAST, and Other Publications, COMDTINST 5215.6 (series);

Accessible Systems and Technology Program (ASTP); Section 508, COMDTINST 5230.60 (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);

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

8. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS. The Office of Environmental Management, Commandant (CG-47) reviewed this Commandant Instruction and the general policies contained within, and determined that this policy falls under the Department of Homeland Security (DHS) categorical exclusion A3. This Commandant Instruction will not result in any substantial change to existing environmental conditions or violation of any applicable federal, state, or local laws relating to the protection of the environment. It is the responsibility of the action proponent to evaluate all future specific actions resulting from this policy for compliance requirements, and the U.S. Coast Guard Environmental Planning Policy, COMDTINST 5090.1 (series).
9. DISTRIBUTION. Electronic distribution in the Directives System Library. Intranet/Pixel Dashboard: Directives Pubs, and Forms - PowerApps (appsplatform.us) . If Internet released: Commandant Instructions (uscg.mil), Coast Guard Forms (uscg.mil) .
10. RECORDS MANAGEMENT CONSIDERATIONS. Records created as a result of this Instruction, regardless of format or media, must be managed in accordance with Records & Information Management Program Roles and Responsibilities, COMDTINST 5212.12 (series) and the records retention schedule located on the Records Resource Center Microsoft SharePoint site at: <https://uscg.sharepoint-mil.us/sites/cg61/SitePages/CG-611-RIM.aspx> .
11. BACKGROUND OF COAST GUARD FORMS PUBLISHING. The FMP is administered under the Coast Guard's Chief Information Officer (CIO). Since 2020 a revitalization of the program has focused on improved technical quality, reestablishment and adherence to improved internal controls, and a focus on end user experience. Results including application of efficient field features, ensuring accessibility compliance, strengthening privacy compliance, and integration with Directives System review processes. Forms are typically authorized through Commandant Instructions, and/or are created for business process/system application. Procedural/SOP guidance may be located at FMP Microsoft SharePoint site at: <https://uscg.sharepoint-mil.us/sites/cg61/SitePages/Forms.aspx> .
12. POLICY ON REVIEW REQUIREMENTS, EXPIRATION DATES, AND LIBRARY PUBLICATION. All Coast Guard forms must be reviewed as a publication using Directives, Publications, and Forms Validation, Form CG-5215A for documentation of this review. All forms must be maintained by Sponsors and will auto expire at 10-years. Some forms will expire prior to this timeline based on special aspects of the form, including collections (typically a 1-to-3-year timeline). An expiration date will be listed on a newly published form starting in calendar year 2023, very rare exceptions apply.
13. POLICY ON FORM TRANSFER AND CANCELLATION. Sponsors may request cancellation or transfer using Directives, Publications, and Forms Validation, CG Form 5215A. Also, the FMP may cancel a form without Sponsor concurrence for noncompliance with security, privacy, accessibility, or correspondence standards, although efforts to update with the form Sponsor will be first attempted. Once cancelled or updated, the obsolete form will be removed from the Active Library within 7-days. At times a temporary or permanent form may be created at the direction of DHS and a Coast Guard forms Sponsor is assigned. If no Sponsor is initially assigned, Commandant (CG-612) will

be considered the owner of the form until a determination/assignment for an appropriate Sponsor is made.

14. POLICY ON PRIVACY REQUIREMENTS IN FORMS CREATION. Forms Sponsors are required to address privacy compliance requirements of their form. Sponsors are encouraged to contact the Office of Privacy Management (CG-6P) early in the process of creating a new form or performing any revisions so that a Privacy Analyst can be assigned to work with the Sponsor on privacy compliance requirements. The FMP does not manage the privacy process, however, relies on completion of the privacy processes to finalize official Coast Guard forms. A Privacy Threshold Analysis (PTA) must be completed for all new forms, a Privacy Act Statement (PAS) or Privacy Notice (PN) will be required for all forms regardless of whether they collect Personally Identifiable Information (PII) or not; CG-6P will make the determination on the type of notice during their review process. Note, a PTA expires no more than 3 years after approval and the forms Sponsor must continue to work directly with CG-6P to keep their PTA and PAS/PN current, regardless of forms expiration dates.
15. PAPERWORK REDUCTION ACT AND FORMS POLICY. The Paperwork Reduction Act (PRA) of 1995 as Reference (f) requires that agencies obtain Office of Management and Budget (OMB) approval before requesting most types of information from the public. "Information collections" include forms, interviews, and record keeping, to name a few categories. Official Coast Guard forms that have a purpose to request information from the general public must display the OMB control number, burden statement, and expiration date on the form (with very rare OMB exception to not display the expiration date).
16. POLICY ON WORKSHEETS AND CHECKLISTS. Most checklists and worksheets should not be designed as a form, this is a departure from past practice in the Coast Guard. However, if PII is collected, these worksheets and checklists must otherwise be designed as a form. Sponsors should consider this aspect, and design to meet their needs rather than exceeding what is required and gathering unnecessary information. The Directives and Publications, Commandant (CG-612) Microsoft SharePoint site provides additional guidance at CG-612 Forms Program (sharepoint-mil.us) or contact USCG.Forms@uscg.mil for additional guidance on specific checklists and worksheets.
17. 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). Most Coast Guard forms are electronic and are typically in a prescribed template. Paper forms are being discontinued unless a valid need is documented, such as for public issuance (carbon copy ticket, or other award/citation). A form is a tool that performs a function in work communication. A form typically initiates an action, records a transaction, or reports. Appendix A describes select definitions and the many types of forms used by the Coast Guard total workforce.

18. ROLES AND RESPONSIBILITIES. Key roles related to the FMP are listed as follows:

- a. Chief Information Officer, Assistant Commandant for C4IT (CG-6). The CIO is responsible for ensuring overall accountability of the FMP for the Coast Guard. 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.
- b. Coast Guard Form Sponsor. Each form is designated a form Sponsor. The form Sponsor must take a lead role in their proactive forms management. Forms must be reviewed regularly (biennial at minimum) and when deemed out of date or non-compliant with current standards, be updated. A formal review must be conducted between years 4 to 5 and a Form CG-5215A must be placed on file with CG-612. As all electronic forms will expire after the 10-year publication date and be removed from the Active Library, the forms Sponsor must actively manage their forms. The forms Sponsor, as part of forms maintenance is also responsible for privacy considerations of their form.
- c. Office of Information Management, Commandant (CG-61). The Office Chief advises the Directives and Publications Division Director and ensures program policy is in place to guide the FMP. Coordinates resources for program health.
- d. Directives and Publications Division, CG Forms Management Program, Commandant (CG-612). 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. Enterprise-wide communication and external communication with DHS and Other Government Agencies (OGA) on forms may be required. Ensures contracts are in place for outsourcing when needed.
- e. 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. The Section 508 team provides review and testing support and may be reached at Section.508@uscg.mil .
- f. Primary Forms Management Officer (FMO), Commandant (CG-612). The Primary FMO is the agency subject matter expert for the FMP and assists form Sponsors in all aspects of the creation, revision, testing, cancellation, and overall forms compliance. The FMO is technically proficient in creating and testing forms, writing policy and processes to guide the FMP. The FMO coordinates with other subject matter experts and ensures alignment with related policy and process. The FMO continually looks for improvement to processes. The FMO manages requests at USCG.Forms@uscg.mil .
- g. Secondary Forms Management Officers (FMO), Commandant (CG-612). Duties are similar to the Primary FMO. The Secondary FMO is technically proficient in creating and testing forms compliance. The FMO assists the Primary FMO to support form Sponsors.

- h. 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.
 - i. Privacy and Freedom of Information Act (FOIA) Officer, Office of Privacy Management, Commandant (CG-6P). The Coast Guard Privacy Officer reviews and approves all proposals for new forms for privacy compliance, 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). This includes Microsoft Forms. The forms Sponsor must work with assigned Privacy Specialist to complete the required documentation. Commandant (CG-6P) will review the aforementioned documents and submit to DHS Privacy Office for adjudication and concurrence of any additional privacy compliance documentation or Office of Management and Budget (OMB) action requirements. Once DHS Privacy has adjudicated the PTA, and/or Privacy Act Statement, Privacy Notice, Commandant (CG-6P) will provide a copy to the Program and advise of any additional requirements. Commandant (CG-6P) will notify the Program or Form Sponsor of any OMB collection expiration dates upon approval, or if other revisions are required prior to approval. See paragraph 14 above for further discussion.
 - j. Privacy Specialist, CG-6P. The Privacy Specialist works with the forms Sponsor in the creation of the Privacy Threshold Analysis, and/or the Privacy Act Statement. The Privacy Specialist will provide progress on approvals to the Forms Sponsor and liaison with the FMO when needed.
 - k. Coast Guard Print Program, Commandant (CG-612). The print program is responsible for ensuring printing procurement process in the Coast Guard and assists 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.
 - l. Surface Force Logistics Center (SFLC) Baltimore. SFLC is responsible for stocking and the distribution of paper forms as needed, until obsolete (such as record books issued to vessels for various documentation purposes). This includes receiving, tracking paper form requests, and coordinating with the FMO for paper form cancellations.
19. FORMS. See Appendix B. Suggested changes and/or corrections for immediate action may be submitted to USCG.Forms@uscg.mil.
20. SECTION 508. This policy is created to adhere to accessibility guidelines and standards as promulgated by the U.S. Access Board with consideration of Information and Communications Technology (ICT) requirements. If accessibility modifications are needed for this artifact, please communicate with the Section 508 Program Management Office

(PMO) at Section.508@uscg.mil. Concerns or complaints for non-compliance of policy and/or artifacts may be directed to the Section 508 PMO, the Civil Rights Directorate (<https://www.uscg.mil/Resources/Civil-Rights/>) for the Coast Guard, or to the U.S. Department of Homeland Security at accessibility@hq.dhs.gov .

21. 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 welcome. All such correspondence may be emailed to Commandant (CG-612) at USCG.Forms@uscg.mil .

/CHRISTOPHER A. BARTZ/
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Assistant Commandant for C4IT (CG-6)

Appendix A. Select Definitions and Form Types
Appendix B. List of Form

Appendix A. Select Definitions and Form Types

1. 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). Most Coast Guard forms are electronic and are typically in a prescribed template. Paper forms are being discontinued unless a valid need is documented, such as for public issuance (carbon copy ticket, or other award/citation). A form is a tool that performs a function in work communication. A form typically initiates an action, records a transaction, or reports.
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.
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 as authorized by the FMP. 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 and preparation for natural disasters and emergencies. The letters "ICS-CG" before the form number identifies the form. This is a hybrid form standardized by the Federal Emergency Management Agency (FEMA) for use during natural or man-made disasters that 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 GSare A.
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 are found at: <https://dhsconnect.dhs.gov/resources/forms> . It is authorized and encouraged to use existing DHS forms when available without making the changes that could result 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 published by the FMO. Coast Guard Headquarter Forms “CGHQ” must be revised to “CG” in republication to improve end user retrieval experience. A form approved by the FMO is assigned an authorized form number, publication date, and expiration date.
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 does not exist. It is recommended that worksheets and checklists are used when practical. However, the creation of original forms is 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 to identify an existing form or recommend the potential creation of a new official Coast Guard form for their unit needs.
12. Coast Guard Academy Forms. Similar to local unit forms. These forms are used typically in a .edu environment and not the .mil environment.
13. Coast Guard One-Time Use Forms. A specialized form created for a specific emergency (non-ICS such as COVID-19 forms) response such as a national emergency. 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. A publication and expiration date must be placed at the bottom of the form.
14. Certificates or Electronic Awards as Forms. Formal Coast Guard awards are designated a form number. However, typically these forms are issued in a printed paper format.
15. Unauthorized Form. An unauthorized form is an unapproved form created by users. These forms may be 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,

Microsoft SharePoint, or external websites.

16. 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.

17. 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. Active paper forms must be retained with the forms Sponsor.

Appendix B. List of Forms

Coast Guard Forms

(Retrieve latest version from the Directives System Library. Intranet/Pixel Dashboard: Directives Pubs, and Forms - PowerApps (appsplatform.us) . If Internet released: www.dcms.uscg.mil/forms/)

Directives, Publications, and Forms Validation, CG-5215A

Form Report Information and Authorization Record, CG-3342 [note, the CGHQ naming convention is dropping to CG; a form revision is currently in process which may result in a slight name change in 2024]