



DEPARTMENT OF THE NAVY
OFFICE OF THE SECRETARY
WASHINGTON, D.C. 20350-1000

SECNAVINST 5214.2B
NAVDAC-80
06 December 1988

SECNAV INSTRUCTION 5214.2B

From: Secretary of the Navy

Subj: DEPARTMENT OF THE NAVY (DON) INFORMATION REQUIREMENTS
(REPORTS) MANAGEMENT PROGRAM

Ref: (a) Paperwork Reduction Act of 1980, Public Law 96-511
(b) DOD Directive 7750.5 of 7 Aug 86 (NOTAL)
(c) DOD Manual 7750.5-M of 28 Nov 86 (NOTAL)

Encl: (1) Information Requirements Management Manual

1. Purpose. To set forth the policy and responsibilities included in enclosure (1), and implement references (a), (b) and (c) for the management of information requirements of the DON. This instruction has been substantially revised and should be read in its entirety.

2. Cancellation. SECNAVINST 5214.2A and OPNAVINST 5214.7.

3. Objectives

a. To increase awareness of the need to coordinate related information resource management policies and programs (forms, privacy and information systems), as a specific discipline encompassed by reference (a).

b. To eliminate information requirements which are duplicative or not cost effective through control, standardization, and consolidation.

c. To ensure that reports are not imposed unless the expected value of the information is worth the imposition of the burden.

4. Policy. It is Secretary of the Navy's policy that:

a. DON organizational components maintain an information requirements management program that establishes a continuing and systematic appraisal of reports.

b. Managers at all levels require only information essential to mission accomplishment.

c. Information requirements shall be challenged if considered unnecessary or duplicative of existing reports.

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d. The licensing of an information requirement will be required by assigning a report control symbol or by citing the authority which exempts the report from symbolization.

e. Information requirements will not be initially authorized for longer than three years from the date of the implementing document.

f. Activities will only respond to licensed reports, to include exempt, or one-time reports.

g. Fleet commanders in chief and commanding generals of the Fleet Marine Forces will comment on information requirements imposed on the operating forces.

h. An information requirement initiated as a result of action directed by higher authority shall bear the report control symbol of the higher authority.

i. At the discretion of the reviewing authority, no new information requirements will be initiated by DON organizational components without cancellation of another requirement of at least equal labor intensity.

5. Responsibilities

a. The Assistant Secretary of the Navy (Financial Management) (ASSTSECNAV FM) is delegated overall responsibility for establishing information requirements policies.

b. The ASSTSECNAV FM has further delegated the functional responsibility for the information requirements management program to the Commander, Naval Data Automation Command (COMNAVDAC). As functional manager, COMNAVDAC will:

(1) Establish and issue procedures for internal, public, and interagency reports management.

(2) Provide technical guidance and assistance to the Office of the Secretary of the Navy.

(3) Coordinate implementation of the information requirement programs.

(4) Monitor and evaluate information requirements management programs.

c. COMNAVDAC will serve as the Department's liaison with the Office of the Secretary of Defense and other Federal agencies.

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d. The Commandant of the Marine Corps (HQSP-5) is responsible for administering the Marine Corps information requirements management program in conformance with the guidance contained in this instruction.

6. Action

a. Addressees establishing information requirements will maintain a program in accordance with enclosure (1).

b. Addressees are also invited to send any recommendations for improving the program to COMNAVDAC.

7. Report and Forms

a. Symbol OPNAV 5214-1 has been assigned to the requirement contained in enclosure (1), part IV, paragraph B1a, and is approved for three years from the date of this directive.

b. SF 360 (Request for Clearance of an Interagency Reporting Requirement), SF 83 (Request for OMB Review), and OF 101 (Summary Worksheet for Estimating Reporting Costs) are available from COMNAVDAC. OPNAV 5214/10 (Reports Analysis Data), S/N 0107-LF-052-1451, and OPNAV 5214/5 (Reports Record Card), S/N 0107-LF-052-1426, are available through normal supply channels per NAVSUP P2002.

c. Headquarters Marine Corps report sponsors will prepare and submit Report Control Coding Sheet (NAVMC HQ584) and Summary for Estimated of Reporting Costs (NAVMC HQ732) following the instructions contained in the current issue of HQO 5214.2.



H. Lawrence Garrett, III
Under Secretary of the Navy

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(see next page)

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PART I

INTRODUCTION

A. OBJECTIVE

1. Reports management is needed to ensure reports and reporting systems provide necessary information effectively, efficiently, and economically.

2. Information is vital to the success of any organization and provides the basis for management decisions. Specific types of data are needed to meet particular requirements. Reports are the major means for providing this data. Reports management encompasses the development of reports and reporting systems. As conditions or needs change, reports management must provide for improvement of reports or systems; it must also provide for the control of reporting requirements to ensure minimum burden is expended and maximum effectiveness obtained.

B. PHILOSOPHY AND SCOPE

1. A line manager has the right to require and to expect the organization to furnish information necessary for effective performance of a mission.

2. Reports management consists of:

a. Reports control--the review and control of individual reports to ensure efficient response to management requirements; and,

b. Reports analysis--the development or improvement of reports and reporting systems.

PART II
REPORTS CONTROL

A. RESPONSIBILITIES. The reports control manager:

1. Reviews reports for conformance with reporting standards.
2. Approves reports by assigning report control symbols (RCS) or citing the exemption authority.
3. Conducts periodic reviews of individual reports.
4. Maintains management data on reports required by the organization (i.e., RCS, title of report, purpose, cost, respondents, etc.).

B. CLEARANCE PROCEDURES

1. Each originator will submit all information concerning the information requirement to the reports control manager for approval. Reports will be approved only when they comply with the procedures contained in this manual.
2. The reports control manager should provide any assistance necessary to the report originator. This assistance is most effective when provided during the initial establishment of a report.

C. FOLLOW-UP PROCEDURES. Reports will be reviewed prior to expiration to determine if they continue to meet requirements efficiently. This review is done by the report originator 60 days prior to the third anniversary of the administrative issuance requiring the report to include complete rejustification of the requirement. Reports not approved for extension are AUTOMATICALLY CANCELLED on the third anniversary date and will be omitted from any subsequent effective reports listing.

D. REPORTS REVALIDATION/CANCELLATION PROCEDURES

1. If an information requirement should be cancelled, prepare a change transmittal to the existing directive cancelling the requirement.
2. If the information requirement remains valid, submit a revised directive or change transmittal, within 60 days of the expiration date, explaining the revalidation and extending the

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approval period for a maximum period of an additional three years (see Figure 1). Prepare and submit a new Reports Analysis Data Form (OPNAV 5214/10) (see Figure 2).

Enclosure (1)

II-2

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DEPARTMENT OF THE NAVY
OFFICE OF THE CHIEF OF NAVAL OPERATIONS
WASHINGTON, D.C. 20350

IN REPLY REFER TO

OPNAVINST 5200.19D CH-1
OP-945

OPNAV INSTRUCTION 5200.19D CHANGE TRANSMITTAL 1

From: Chief of Naval Operations

Subj: REVIEW, CLEARANCE, AND APPROVAL OF PROPOSED
ADMINISTRATIVE ISSUANCES

1. Purpose. To revalidate the reporting requirement and extend the reporting date in the basic instruction.

2. Validation and Approval of Extended Reporting Requirement.
We use the information from this report to extract/obtain management data for the reports control program, to document costs, to aid in validating reporting requirements and assist in preventing duplication. To control and reduce the burden placed on the operating forces and the shore establishment, we must extend the report control symbol OPNAV 5214-1. We are approving the report contained in the basic instruction for an additional three years.

3. Action. Add the following sentence to the report(s) paragraph: Extend the reporting requirement contained in this directive until (insert a month and year not greater than three years from the date of the change transmittal).

Distribution:
(Same as basic)

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CO, NAVOPFORMCEN
5801 Market Ave.
Philadelphia, PA 19120-5099

NOTES TO ORIGINATORS

Subject Line: Type in the subject of your basic instruction.

Paragraph 2: State the reason for continuation of the report.

REPORT ANALYSIS DATA		1. SSIC NUMBER	2. REPORT CONTROL SYMBOL	
3. TITLE OF REPORT				
4. PURPOSE OF REPORT				
5. REQUIRING DIRECTIVE(S) (List all that apply)		6. FREQUENCY OF REPORT		
		<input type="checkbox"/> DAILY <input type="checkbox"/> QUARTERLY <input type="checkbox"/> ONE TIME <input type="checkbox"/> WEEKLY <input type="checkbox"/> SEMI-ANNUALLY <input type="checkbox"/> SITUATIONAL <input type="checkbox"/> MONTHLY <input type="checkbox"/> ANNUALLY <input type="checkbox"/> _____		
7. REPORT FORMAT		8. IS REPORT SUBJECT TO MINIMIZE?		
<input type="checkbox"/> MESSAGE <input type="checkbox"/> LETTER <input type="checkbox"/> FORM (Attach copy)		<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NOT APPLICABLE		
9. METHOD OF PREPARATION		10. IS REPORT ENTERED INTO AN ADP SYSTEM?		
<input type="checkbox"/> ADPE <input type="checkbox"/> TYPEWRITER <input type="checkbox"/> MANUAL <input type="checkbox"/> _____		<input type="checkbox"/> NO <input type="checkbox"/> YES (List name and location of system)		
11. WHO USES COMPLETED REPORT? (List by command, OP code, etc.)				
12. THIS REPORT IS COMPLETED BY <input type="checkbox"/> OPERATING FORCES (SNDL Part 1) <input type="checkbox"/> SHORE ESTABLISHMENT (SNDL Part 2)				
IF COMPLETED BY OPERATING FORCES, ARE FLEET CINC COMMENTS ATTACHED? <input type="checkbox"/> YES <input type="checkbox"/> NO				
13. RESPONDENTS	A. LIST RESPONDING COMMANDS BY A COLLECTIVE TERM OR BY NAME (FOR EXAMPLE: FLTCINCS, TYCOMS, NAVAL LABS, ALL LEGSERVOFF, CRUITSTAS, AREA COORDINATORS, ALL OPER AVIATION SQUADRONS, ALL SUBMARINES, ALL SSN, ALL SURFACE SHIPS, MAJOR CLAIMANTS, ALL SHOREACTS W/BEQ/BOQ, ALL COMDS W/DENTISTS, ALL S&S W/MEDPERS, SYSCOMS, COMDS W/GEN MESS, ALL S&S, ALL COMDS W/CIVILIANS, ALL OVS COMDS, ALL ECHELON 2 COMDS)		OPERATING FORCES (SNDL Part 1) (1)	
			SHORE ESTABLISHMENT (SNDL Part 2) (2)	
	B. TOTAL NUMBER OF RESPONDENTS		(1)	(2)
	C. TOTAL NUMBER PREPARE AND SUBMIT THIS REPORT (Reverse)		(1)	(2)
14. ACTION OFFICER	A. NAME, RANK/RATE/GRADE AND TITLE		B. ADDRESS NAME AND ADDRESS (Include room #)	
	C. SIGNATURE		D. DATE	E. PHONE NO

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Use this worksheet for estimating the total cost to prepare and submit this report. Compute two costs—one for operating forces and one for shore establishments. The hourly rate may be taken from any current pay chart.

OPERATING FORCES COSTS TO PREPARE AND SUBMIT

PAY GRADE	NO. HOURS SPENT	X HOURLY RATE	= PERSONNEL COSTS	+ 25% OVERHEAD	= TOTAL COSTS BY PAY GRADE
Total Cost to Prepare and Submit One Report: \$ _____					
X _____ Commands Required to Submit =					\$ _____
X _____ Reports per Year =					\$ _____
Total Cost to Prepare and Submit					* \$ _____

*Enter this figure in column 13(c)(1)

SHORE ESTABLISHMENT COSTS TO PREPARE AND SUBMIT

PAY GRADE	NO. HOURS SPENT	X HOURLY RATE	= PERSONNEL COSTS	+ 25% OVERHEAD	= TOTAL COSTS BY PAY GRADE
Total Cost to Prepare and Submit One Report: \$ _____					
X _____ Commands Required to Submit =					\$ _____
X _____ Reports per Year =					\$ _____
Total Cost to Prepare and Submit					** \$ _____

**Enter this figure in column 13(c)(2)

SAMPLE COMPUTATION (SALARIES ARE NOT ACCURATE)

PAY GRADE	NO. HOURS SPENT	X HOURLY RATE	= PERSONNEL COSTS	+ 25% OVERHEAD	= TOTAL COSTS BY PAY GRADE
O-2 (Note 1)	.25	7.45	1.86	0.47	
E-8 (Note 2)	3	7.45	22.35	5.59	
GS-4 (Note 3)	1	4.77	4.77	1.19	
Total Cost to Prepare and Submit One Report =					\$36.23
X 4 Commands Required to Submit =					\$144.97
X 4 Reports per Year =					\$579.68
Total Cost to Prepare and Submit					\$579.68

- Note 1: Reviews and signs report.
- Note 2: Collects required information; prepares chart; writes report.
- Note 3: Types and mails report.

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PART III

REPORTS ANALYSIS

A. GENERAL CRITERIA. Reports must provide a basis for measuring performance, making decisions, creating or revising policy, or carrying out operations and executing the mission of the organization establishing the information requirement.

1. Detailed analysis

a. Report items must be constructed to obtain all information needed concisely, economically, and effectively. Administrative issuances having information requirements should be sufficiently clear to avoid misinterpretation.

b. Each item must satisfy a current need or known future requirement. The collection of information to meet some possible future need is not justified. Each reported item of information must be used by the recipient of the report.

c. The need for each item can be determined by analyzing the answers to the following questions:

(1) Is the information requested under the cognizance of the requiring office?

(2) Is the information requested necessary for an established objective?

(3) How is the information used?

(4) Could the information be obtained from some other source?

(5) Is the information capable of misinterpretation? Could it be more simply stated?

(6) Can the information be used for purposes other than the established objective? Are there other potential users of the information?

d. Negative reports should be required only when they serve an established objective.

2. Arrangement of report items. Arrange report data items in logical format for easy completion by the preparing organization and for efficient use by the receiving organization. The

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organization forms control manager will assist in developing the most effective forms design.

3. Source of information for report items. Determine the organization which can furnish precise, usable information in the easiest way. Reassignment of responsibility for preparation of reports may avoid the establishment of unnecessary or duplicate source records, unnecessary work flow, or other uneconomical processes.

4. Controlling copy distribution. Distribution of completed reports is based on a "need-to-act" or "need-to-know" basis. Distribution of courtesy copies is prohibited.

5. Timing submissions. Establish minimum burden in timing and frequency of preparation. Consider the following factors when dealing with timing:

a. Minimum frequency. Establish the maximum time possible between submissions.

b. As required reports. Establish these reports with the understanding that information will be available and furnished on request.

c. Situation reports. These reports are required on occurrence of an event or situation or change in condition.

d. Realistic due dates. Allow sufficient time for adequate compilation between the end of the period covered and the due date.

e. Peakloads. Stagger report submission dates to avoid conventional peakloads (last of the month, last of the quarter).

B. COSTING

1. Need for costing. Consider the cost of establishing new reports and of improving existing ones. Compare investment of work-hours and other costs to the value received from the report. Improved operations and effective decision-making processes, in some cases, justify costly reports and reporting systems.

2. Methods of estimating costs. Base estimates on the actual situation. Estimate work hours and machine time from the approximate time spent by activity personnel to prepare and process the report. Obtain dollar costs of any machine time, printing, special equipment, or other materials from the command completing the report.

PART IV
INTERNAL REPORTS

A. DEFINITIONS

1. ADMINISTRATIVE ISSUANCES. All instructions, notices, and change transmittals; administrative publications and manuals; general messages; and messages and correspondence containing material of a directive nature.

2. INFORMATION REQUIREMENT. The functional area expression of need for data or information to carry out specified and authorized functions or management purposes that require the establishment of maintenance of forms or formats, or reporting or recordkeeping systems, whether manual or automated.

3. 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, or other media.

4. REPORT CONTROL SYMBOL (RCS). An organization abbreviation combined with a Standard Subject Identification Code (SSIC) (see SECNAVINST 5210.11D) and a numeric suffix which signifies that a report has been approved.

5. REVISED REPORT. An established report which changes in any way. Revised reports have to be cleared by the reports control manager.

6. AS REQUIRED REPORT. Information collected, stored, retrieved, and submitted when requested.

7. COMPUTER GENERATED REPORTS. Reports generated by processing data residing in a computerized data base. (NOTE: Reports management levies control on manual hours required to compile information. This manual collection of information must have a report control symbol or exemption statement. If this information is then entered into a computer system, any computer output will not have a report control symbol assigned since these reports are computer generated, not manually prepared.)

8. EXEMPT REPORTS. Reports that are not subject to reports documentation and symbolization procedures.

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9. INTERNAL REPORT. A report that remains within one organizational structure for its own use.

10. LICENSED REPORT. A report that has been justified by the originator, reviewed and approved by the reports control manager, and assigned a report control symbol or an exemption authority.

11. UNLICENSED REPORT. A report that has not been justified by the originator, reviewed and approved by the reports control manager, and not assigned a report control symbol or an exemption authority.

12. OPERATING FORCES. The activities comprising the operating forces of the Navy and the operating forces of the Marine Corps are listed in SNDL Part 1.

13. ONE-TIME REPORT. A report prepared only once. One-time reports will be assigned a report control symbol per SSIC code using "OT" as suffix number.

14. RECURRING REPORT. A report which conveys essentially the same type of information at prescribed intervals.

15. SHORE ESTABLISHMENT. The activities comprising the shore activities of the Navy and the Marine Corps are listed in SNDL Part 2.

16. SITUATION REPORT. A report which is prepared upon occurrence of a specified event.

17. STATUS REPORT. An interim report explaining the amount of work completed or to be completed on an established report.

18. SURVEY OR PERSONNEL SURVEY. An organized effort to obtain information from persons about themselves, their attitudes, perceptions, beliefs, opinions, or interests where the acquisition of such information is not a normal administrative requirement internal to the command.

B. ESTABLISHING AN INFORMATION REQUIREMENT

1. Originators establishing information requirements shall:

a. Prepare a Report Analysis Data form (OPNAV 5214/10) for each information requirement contained in the administrative issuance establishing the report. (See Figure 2)

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b. Ensure that all requests from the Shore Establishment for approval of information requirements involving the operating forces be reviewed by the affected fleet commanders in chief and that their comments be provided to the reports control manager.

c. Ensure that information requirements not be authorized for longer than three years from the date of the administrative issuance establishing the report. A sentence must be included in the reports paragraph stating that the report has been approved for three years from the date of the directive. Recurring reports of less than three years will include the expiration date of the report in the reports paragraph. One-time reports are not submitted or approved for three years. One-time reports are submitted only one time.

d. For exempt reports, ensure that exempting justification is included as part of the report background material. Include the identification of the exemption in the reports paragraph (e.g., "The requirement contained in paragraph ___ is exempt from reports control by SECNAVINST 5214.2B and requires no report symbol.")

e. Establish message information requirements only when there is a clear operational requirement or time sensitive need. If applicable, during periods of MINIMIZE (see paragraph E7), ensure that the use of telecommunications to fulfill information requirements will be used by adding the words (MIN:CONSIDERED) after the report control symbol.

f. Ensure that respondents have sufficient time to collect, prepare, and transmit the required information.

2. After the above information has been compiled, the report originator will provide the following documents to the reports control manager for review and approval of the report:

a. The proposed administrative issuance requiring the report.

b. All references, enclosures, and cancelled documents, if any.

c. All approved forms or formats.

d. All necessary coordinations and fleet commanders in chief comments, if applicable.

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e. Documentation which exempts the report from the control process, if applicable.

f. Completed Report Analysis Data form (OPNAV 5214/10).

3. The reports control manager will review the documentation, decide if the report should be approved, and notify the originator of the approval/disapproval decision. The reports manager will also provide reasons for disapproval of the report to the originator.

C. FILING REPORTS MATERIAL

1. Case folders. Case folders must be maintained on all reports established by the Command. Maintaining case folders on reports prepared by the command for other activities is optional and at the discretion of the reports manager.

2. Report case folder. Maintain case folders on each established report and include:

a. A completed OPNAV 5214/10 (for non-exempt reports).

b. A copy of the report form, format or a copy of the report.

c. A copy of the document requiring the report.

3. Arrangement of case folders. Arrange folders chronologically by report control symbol.

D. REPORTS CONTROL INVENTORY. An accurate inventory of reports is essential for effective operation and will be maintained by the reports control manager. Activities will maintain case folders on those reports over which they have cognizance. OPNAV 5214/5 (see Figure 3) is available to assist reports control managers in establishing a manual inventory system. Management data fields for establishing an automated system may be obtained from COMNAVDAC. The purpose of the inventory is to provide:

1. A central reference point for all reports required by the activity.

2. A source of information for comparison or background use in the review of new reports and revisions to existing reports.

3. A source of information to avoid duplication of existing information requirements.

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E. REPORT CONTROL SYMBOLS. A report control symbol is assigned by the command reports control manager. SECNAV and OPNAV report control symbols are assigned by COMNAVDAC.

1. Necessity of report control symbols. A report control symbol indicates that the report has been reviewed and approved as a valid requirement and the respondents have the responsibility of providing the requested information.

2. Use of higher authority report control symbols. The symbol of the highest authority will appear on the report. For example, if a DD symbol is assigned to a report, all responding commands will use the DD symbol, expiration dates as assigned by the Office of the Secretary of Defense (OSD) and associated report title. Reports control managers will not substitute their own command symbol to a report having a higher level symbol.

3. Unlicensed reports. Organizations are not required to respond to unlicensed or expired reports.

1. REPORT SYMBOL	2. FREQUENCY	3. FORM # OR FORMAT	4. DATE
5. REPORT TITLE			
6. REQUIRING DIRECTIVE OR REFERENCE			
7. REFER QUESTIONS TO	8. OFFICE	9. PHONE NO.	10. ROOM NO.
11. PREPARING COMMANDS OR ACTIVITIES		12. REVIEWED (Mo-Yr)	
		13. REVIEWED (Mo-Yr)	
14. CANCELED (Date and Authority)			

OPNAV 5214/5 (REV. 8-82) S/N 0107-LF-052-1426 REPORTS RECORD CARD

Figure 3

IV-6

Enclosure (1)

SAMPLE

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4. Composition of a Navy report control symbol. These symbols are assigned by the reports control manager. An example is OPNAV 5214-1.

a. The letters OPNAV indicate the authorized abbreviation of the bureau, office, shore activity or fleet command which requires the report (OPNAV is the abbreviation for the Office of the Chief of Naval Operations).

b. The four or five digits together, 5214, indicate the Department of the Navy Standard Subject Identification Codes (SSIC) number which identifies the subject of the report (5214 is Reports Management). Use SECNAVINST 5210.11D to find the appropriate SSIC numbers and their associated narrative subjects.

c. The last digit, separated by a dash, is the next consecutive number in that SSIC series. In the example, OPNAV 5214-1 is the first OPNAV symbolized report in the 5214 series.

d. Consecutive numbers assigned in a report control symbol must not be re-used even if the report is subsequently cancelled or expired.

5. Composition of a Department of Defense (DOD) report control symbol. These symbols are assigned by the reports control manager in the Office of the Assistant Secretary of Defense (Comptroller). An example of a DOD symbolized recurring report is DD-COMP(SA)725--Reimbursable Transactions.

a. The letters DD indicate that this is a Department of Defense report.

b. The abbreviation before the parenthesis is the office within DOD requiring the report (COMP is the Office of the Comptroller).

c. The letters in parenthesis indicate the frequency of the report (SA is semi-annual).

d. The digits indicate the next consecutive number assigned by the DOD reports control manager for the overall system (725 is the next consecutive number assigned for all DOD reports; not the next consecutive number for COMP reports).

e. The Navy reports control manager assigns an appropriate SSIC number in parenthesis after the DOD symbol. For Navy purposes the report control symbol DD-COMP(SA)725(7010) represents a DD report with the SSIC 7010 to designate a report on non-appropriated funds. The entire number is written without spaces.

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f. A one-time DOD report control symbol is written as DD-COMP(OT)8836(7010). This is the same as the recurring report control symbol except that OT means the report will only be submitted one time. The first two digits, 88, indicate the calendar year the report was established and the next two digits, 36, reflect the next consecutive number for one time reports controlled for that year. The figure 8836 in the above example means that this is the 36th one-time report assigned in calendar year 1988.

6. Location of the report control symbol in documents

a. When an administrative issuance establishes a report, cite either the report control symbol, title, paragraph establishing the requirement and cancellation date or the exemption authority in the last paragraph (above the signature) of the document imposing the report.

b. When a document references a report that has been established by prior issuance, cite the report control symbol in the same paragraph that mentions the report.

7. MINIMIZE

a. When an actual or simulated emergency occurs, a reduction of telecommunications use may be necessary. This action is required to facilitate prompt transmission of essential traffic. Essential traffic is that which must be transmitted electrically to avoid serious detrimental impact on mission accomplishment or safety of life. Commanders have the authority to impose MINIMIZE within their command or area of command responsibility unless specifically denied.

b. The report sponsor must determine if the information required is important enough to be received during MINIMIZE conditions.

c. When a report is to be transmitted during MINIMIZE conditions, the words (MIN:CONSIDERED) are written in parenthesis after the report control symbol; for example, OPNAV 1000-1 (MIN:CONSIDERED).

d. Greater effort is required to enforce MINIMIZE. Therefore, all messages released during MINIMIZE will include as the last sentence "Released by" followed by the rank/grade and name of the releaser.

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F. PUBLISHING LISTS OF REPORTS. Each organization should periodically publish a list of its current information requirements. Include the following for current reports:

1. Report control symbol.
2. Title of the report.
3. Form number or format.
4. Frequency of submission.
5. Document requiring the report.
6. The organization code sponsoring the report.
7. Organizations that must respond to the report (collective terms preferred).

G. EXEMPTIONS. The following subject matters are exempt from reports control:

1. Communications actions on declaration of war.
2. Establishment or cancellation of MINIMIZE.
3. Compromises of classified information.
4. Status changes for Communications Security Material System (CMS) items and cryptographic keying material.
5. Information concerning imminent danger to life, health, or property arising from dangerous or defective material.
6. Issuances establishing defense conditions or alerts of a service-wide nature.
7. Reports of events or special incidents which may attract national and/or high U.S. Navy interest.
8. Operational reports flowing within the Navy Command and Control System (NCCS) to support commanders in planning, directing, and controlling operations of assigned forces by assigned missions. Reports contained in communications tactical publications.
9. Substantive intelligence reporting.

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10. Operating documents and information or documentation processed and/or transmitted within an operational system. Examples are application forms, purchase orders, bills of lading, personnel actions, payrolls and timesheets, and reports of inspections.
11. Report of findings, recommendations, or actions prepared by an official committee, board, study group, or task force.
12. Comments or concurrences which are part of the routine clearance of proposed actions or publications and recommendations or evaluations as to existing or proposed plans, policies, procedures, organizations, missions, publications, agenda, or courses of action.
13. Public information releases.
14. Reports of audit, internal review, investigation of charges, a complaint, a claim or a violation of law or regulation. Information required to prepare the final published audit report is not exempt.
15. Counterintelligence, personnel security, and other investigative surveys and reports as covered by SECNAVINST 3820.2D.
16. Reports concerning personnel matters such as savings bond participation, conflict of interest statements, financial statements, nominations, and routine medical and dental documents.
17. Routine requests for cost estimates related to a specific information request.

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PART V

PUBLIC REPORTS

A. DEFINITIONS

1. COLLECTION OF INFORMATION. Obtaining or soliciting facts or opinions by written report forms, application forms, schedules, questionnaires, reporting or recordkeeping requirements, or other similar methods calling for either:

a. Answers to identical questions posed to, or identical reporting or recordkeeping requirements imposed upon, ten or more persons, other than agencies, instrumentalities, or employees of the United States.

b. Answers to questions posed to agencies, instrumentalities, or employees of the United States which are to be used for general statistical purposes.

2. AGENCY. Any executive department, military department, Government corporation, Government controlled corporation, or other establishment in the executive branch of the Government (including the Executive Office of the President), or any independent regulatory agency, but does not include the General Accounting Office, Federal Election Commission, the governments of the District of Columbia and of the territories and possessions of the United States, and their various subdivisions, or Government-owned contractor-operated facilities including laboratories engaged in national defense research and production activities.

3. INFORMATION COLLECTION REQUEST. A written report form, application form, schedule, questionnaire, reporting or recordkeeping requirement, or other similar method calling for the collection of information.

4. PERSON. An individual, partnership, association, corporation, business trust, or legal representative, an organized group of individuals, a State, territorial, or local government or branch, or a political subdivision of a State, territorial, or local government or a branch of a political subdivision.

5. BURDEN. The time, effort, or financial resources expended by persons to provide information to a Federal agency.

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B. OBJECTIVE

1. To minimize the Federal paperwork burden for individuals, small businesses, State and local governments, and other persons.

2. To minimize the cost to the Federal Government of collecting, maintaining, using, and disseminating information.

3. To maximize the usefulness of information collected by the Federal Government.

C. PROCEDURES

1. Each request to collect information from the public must be approved by the Office of Management and Budget (OMB). To obtain this approval, the originator of the request must include the report in the Information Collection Budget (ICB) submitted to OMB in July of each year. The ICB consists of all existing and new public reports (both recurring and one-time) that might be established during the year. Since requirements for submission of the ICB frequently change each year, originator should notify COMNAVDAC as soon as possible of any potential new public report in order to obtain guidance for including it in the ICB.

2. When a new report is to be approved or an existing one extended, the originator will submit six copies of the following completed documents, via the chain of command, to COMNAVDAC:

a. Clearance Request and Notice of Action (SF-83). Instructions for completing this form are contained in SF 83a.

b. A supporting statement prepared on bond paper following the specific instructions provided in the SF 83a.

c. The form, survey, questionnaire or report, and all privacy act statements.

d. Proposed instructions for completing the report, if any.

e. The information to be submitted for publication in the Federal Register (a sample format may be obtained from COMNAVDAC).

3. COMNAVDAC will submit the ICB to the Assistant Secretary of Defense (Comptroller) (ASD(C)) for review and forwarding to OMB for final action.

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4. The originator will receive written notification of OMB's final action. If the report is approved, a report control symbol and expiration date will be assigned to the report. The symbol must be used on all subsequent documentation concerning the report. If approval is not granted, the information may not be collected. Collecting information that has not been approved by OMB is a direct violation of Public Law 96-511.

D. COMPOSITION OF A PUBLIC REPORT CONTROL SYMBOL. These symbols, such as 0703-0003, are assigned by OMB.

1. The first four digits represent the number assigned to the agency requiring the report; for example, Air Force is 0701, Army is 0702, Navy is 0703, and OSD is 0704.

2. The last three digits represent the next consecutive number assigned to the requiring agency's approved public reports. In the example above, 0003 is the third public reporting requirement approved for the Navy.

E. EXEMPTIONS. The following types of information collections from the public are exempt from OMB review:

1. Affidavits, oaths, affirmations, certification, receipts, changes of address, consents, or acknowledgments, provided that they entail no burden other than that necessary to identify the respondent, the date, the respondent's address, and the nature of the instrument;

2. Samples of products or of any other physical objects;

3. Facts or opinions obtained through direct observation by an employee or agent of the sponsoring agency or through non-standardized oral communication in connection with such direct observations;

4. Facts or opinions submitted in response to general solicitations of comments from the public, published in the Federal Register or other publications, provided that no person is required to supply specific information pertaining to the commenter, other than that necessary for self-identification, as a condition to the agency's full consideration of the comment;

5. Facts or opinions, obtained initially or in follow-up requests, from individuals (including individuals in control groups) under treatment or clinical examination in connection with research on, or prophylaxis to prevent, a clinical disorder; direct treatment of that disorder; or in the interpretation of biological analyses of body fluids, tissues, or other specimens; or the identification or classification of such specimens;

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6. A request for facts or opinions addressed to a single person;
7. Examination designed to test the aptitude, abilities, or knowledge of the persons tested and the collection of information for identification or classification in connection with such examinations;
8. Facts or opinions obtained or solicited at or in connection with public hearings or meetings;
9. Facts or opinions obtained or solicited through nonstandardized follow-up questions designed to clarify responses to approved collections of information;
10. Like items so designated by OMB;
11. Collections of information from Federal employees within the scope of their employment, unless the results are to be used for general statistical purposes;
12. Members of the Armed Forces serving on active duty, members of their families, and retired members of the Armed Forces when being surveyed within the context of Section 804 of the FY 1986 Defense Authorization Act;
13. Collections of information from fewer than 10 persons;
14. Collections of information involving compulsory process under the Anti-trust Civil Process Act, or Section 13 of the Federal Trade Commission Improvements Act of 1980;
15. Collections of information required during the conduct of intelligence activities, as defined in Section 4-206 of Executive Order 12036, issued January 24, 1978, or successor orders, including Executive Order 12333, issued December 4, 1981; or during the conduct of cryptologic activities that are communications securities activities; and
16. Public collections of information needed during the conduct of a federal criminal investigation or prosecution, during the disposition of a particular criminal matter, during the conduct of a civil action to which the United States or any official or agency thereof is a party, or during the conduct of an administrative action or investigation involving an agency against specific individuals or entities.

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PART VI

INTERAGENCY REPORTS

A. DEFINITIONS

1. INTERAGENCY REPORTING REQUIREMENT. Any requirement that involves a report to an agency from one or more agencies covered by the Federal Records Act.

2. AGENCY. A department, independent agency, commission, or establishment of the executive branch.

B. OBJECTIVE. To ensure that Navy interagency reports collect only essential information to avoid duplication and needless expenditures.

C. PROCEDURES

1. If a new, revised or extended interagency report is required by a Navy organization, submit an original and five copies of the following items to the originator's reports control manager:

a. Completed Standard Form 360, Request for Clearance of an Interagency Reporting Requirement.

b. Completed Optional Form 101, Summary Worksheet for Estimating Reporting Costs.

c. The reporting requirement and any instructions pertaining to it.

d. Any form or reporting format.

2. If the originator's reports control manager concurs with the report, forward the items listed above to COMNAVDAC. After review, the information will be forwarded to the Office of the Secretary of Defense (OSD), then to the General Services Administration (GSA) for final action and, if approved, the assignment of a report control symbol.

3. After final action by GSA, the SF 360 is returned through the chain of command to the originating organization. An approved report will contain the report control symbol and an expiration date. This symbol and expiration date must appear in the Department of the Navy implementing directive. If the report is disapproved, the information may not be collected.

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D. COMPOSITION OF AN INTERAGENCY REPORT CONTROL SYMBOL. These symbols, such as 1095-DOL-AN, are assigned by GSA.

1. The first four digits are assigned by GSA. The number 1095 represents the one thousandth ninety fifth interagency report control symbol assigned.

2. The letter abbreviation is the agency originating the report; for example, DOL is the Department of Labor.

3. The remaining letters indicate the frequency of the submission of the report. AN equates to annual.

4. For DON purposes, an appropriate SSIC number is assigned in parenthesis after the interagency symbol (i.e., 5212). The report control symbol cited above would become 1095-DOL-AN(5212) and is written without spaces.

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PART VII

SELF INSPECTION GUIDE FOR REPORTS MANAGERS

A. OBJECTIVE. This guide is designed to assist reports control managers in evaluating overall reports management policies, standards, organizational structure, staffing, and procedures.

B. PROCEDURES. Self-inspection ensures proper reports management throughout an organization. The answers to the following questions should assist in evaluating program effectiveness:

1. Program placement and responsibilities

a. Is the overall responsibility for reports management assigned at the executive level?

b. Is reports management part of the overall records and information management program?

c. Does placement of the program allow for coordination among other records managers?

d. Have reports management responsibilities been clearly delegated in writing?

2. Program documentation

a. Is there a current directive outlining reports management policy, objectives, and responsibilities?

b. Are there written procedures for performing reports management functions?

c. Does the reports management directive include procedures for internal, interagency, and public reports?

d. Are there written procedures for ensuring compliance with the Privacy Act?

e. Are there written procedures for coordinating reporting requirements with ADP activities, and forms, directives, and other related elements?

f. Are reports required to be analyzed for duplication and redundancy, and are there written procedures for doing so?

g. Is there a requirement for cost analysis of reports?

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h. Is there a stipulation that respondents will not comply with a reporting requirement unless the report control symbol or exemption authority is provided?

i. Are reports required to be checked for compliance with applicable laws, regulations and policies?

j. Are automated reports subject to the same reviews and controls as non-automated reports?

3. Program records

a. Does the office responsible for reports management maintain a history (case) file with background information on each proposed and approved report?

b. Does the history file contain information on the purpose of the report, justification, originating office or official, implementing directive, related forms, and costing?

c. Does the reports management office maintain a complete set of directives, rules, regulations, and internal procedural documents governing reports management?

d. Is a listing of effective reports issued on at least an annual basis?

e. Is the listing of effective reports current?

f. Are the reports in the listing grouped by function, report symbol, or subject to avoid duplication?

4. Program operations

a. Does the reports management staff provide training to sponsors on the need for reports management and the sponsors responsibilities?

b. Does the reports control manager provide training and technical assistance in analyzing and determining information needs and system design?

c. Are procedures for reports management available to be followed by persons who require, prepare, process, and use reports?

d. Have practices that bypass the clearance process been eliminated (avoid unlicensed reports)?

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e. Are waivers and exceptions to the clearance process properly documented and legitimate?

f. Do originators coordinate proposed reports with those who will be affected by them?

g. Is senior management aware of the number, types and costs of reports and systems required by organization components?

h. Have directives outlining reporting requirements been distributed to responding organizations on a timely basis?

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PART VIII

REPORT EVALUATION GUIDE

A. OBJECTIVE. This guide is designed to improve the evaluation of individual reports.

B. PROCEDURES. The following questions should assist reports control managers in evaluating reports:

1. Need and use

a. Is there a specified purpose for the report?

b. Is the report used to make a decision or take a specific action?

c. Would the performance of any function be impaired without the report?

d. Are all items on the report used?

e. Have all items falling into the "nice to know" category been eliminated?

f. Are all copies of the report used?

g. Are there any copies used strictly for informational purposes? If so, are they really necessary?

2. Adequacy and suitability

a. Is all data accurate and complete?

b. Does the data match the specific need of each user?

c. Is the information being reported valid and timely?

d. Has a one-time situation report been substituted for a periodic report when that would serve the purpose?

e. Is the data summarized whenever possible?

f. Does the report contain comparisons of data?
(Reports that include comparative data are usually more useful than raw data or statistics.)

g. Have production or performance goals been set and used to compare data?

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h. Are meaningful comparative bases used, such as established standards, past performance, financial or production goals, and correlations with other schedules, programs, or events?

i. Are graphics, such as illustrations, charts, graphs, etc., used to good advantage?

j. Is the report style suitable for intended users (i.e., executives, technicians, the general public)?

k. Is the tone, or the presence or absence of detailed statistics, appropriate to the users' level of responsibility and knowledge?

l. If statistics are used, are they meaningful?

m. Does the complete report provide maximum simplicity and utility for the intended respondents and users?

3. Distribution of the report

a. Is the method for distributing the report adequate?

b. Has the accuracy of the distribution been verified in the last year?

c. Is a copy of the report forwarded to everyone who needs and uses the information?

d. Has consideration been given to broader distribution of the report instead of preparing summary reports?

4. Relationship to functions

a. Is the report related to the user's functions?

b. If the user's functions and responsibilities have recently changed, has the change been reflected in the report?

c. Could another action eliminate a report?

5. Sources

a. Is the information in the report obtained from the best source?

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b. Has consideration been given to using the information available in a different form or from another organization (such as a computer printout)?

c. Are files or other sources maintained so that data can be easily extracted?

6. Cost

a. Has a cost analysis been performed on the report?

b. Has costing information been documented?

c. Is data being obtained and processed in the least costly manner?

7. Timing

a. Are reporting periods clearly stated in the implementing directive?

b. Is the report needed for a specific period of time only, and has it been assigned an expiration date consistent with that need?

c. Is the due date clearly stated?

d. Is the frequency (monthly, quarterly, annually) of the report specified?

e. Is the report's frequency consistent with the users' needs?

f. Are deadlines realistic?

g. Have the heaviest workload periods, such as the end of a month or a quarter, been avoided if possible? Try to use 15th of the month and triannual reporting periods rather than peak periods.

8. Sampling

a. Is complete coverage, rather than a sample, essential?

b. If sampling is used, is it representative enough to provide accurate data?

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9. Combination

a. Have all possibilities for combining the report with other reports been considered?

b. If automated, has the data been integrated with other systems or data bases where possible?

c. Have the data needs of other offices been coordinated?

10. Instructions

a. Are the reporting instructions sufficiently detailed and clear?

b. Do the instructions provide for standardized reporting?

11. Report control symbol

a. Is the report appropriately licensed?

b. Is the report control symbol shown on forms and records associated with the report to tie together the related forms and directives?

12. Authentication

a. Are the signatures of verifying and approving officials required only when necessary?

b. Are the signatures at the appropriate level of authority?

13. Format

a. Is the report format prescribed?

b. Do all preparing offices use the same format?

c. Has a form been used where appropriate?

d. Has a form that already exists been used for collecting required information where appropriate?

14. Design

a. Is the text of fill-in reports arranged to permit easy fill-in and use?

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- b. Is there adequate space for each item?
- c. Are items in proper sequence according to the user's needs, especially when data is transferred from a report to an automated form?
- d. Are recurring items, such as the recipient's address, preprinted on the report form whenever possible?
- e. Are the instructions adequate and are they placed where they are readily seen; are they clear and descriptive; do the boxes, lines, type, etc., emphasize the captions?
- f. If multiple copies of a form are required, is it available in sets using interleaved carbons or carbonless paper?
- g. Is the size of the form adequate, practical, and easy to read; will it fit in standard files or binders?