

**DEPARTMENT OF DEFENSE
PROCEDURES FOR MANAGEMENT
OF INFORMATION REQUIREMENTS**

June 1998

Director, Washington Headquarters Services



DEPARTMENT OF DEFENSE
WASHINGTON HEADQUARTERS SERVICES
1155 DEFENSE PENTAGON
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FOREWORD

This Manual is reissued under the authority of DoD Directive 8910.1, "Management and Control of Information Requirements," June 11, 1993. It provides guidance to program managers and action officers who need to obtain information from the public, other Federal Agencies, or the DoD Components and provides them with the procedures necessary to license their information requirements. It also provides guidance to assist information management control officers on the operation of their reports management programs. DoD 8910.1-M, "DoD Procedures for Management of Information Requirements," November 1986, is hereby canceled.

This Manual applies to the Office of the Secretary of Defense, the Military Departments (including the National Guard and the Reserve components), the Chairman of the Joint Chiefs of Staff, the Defense Agencies, and the DoD Field Activities (hereafter referred to collectively as "the DoD Components").

The provisions of this Manual are applicable to all new and existing information requirements. This Manual is effective immediately, and is mandatory for use by all the DoD Components.

Send recommended changes to the Manual to:

Washington Headquarters Services
Directorate for Information Operations and Reports
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Arlington, Virginia 22202-4302

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Director

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REFERENCES

- (a) [DoD Directive 5230.9](#), "Clearance of DoD Information for Public Release," April 9, 1996
- (b) [DoD Directive 8910.1](#), "Management and Control of Information Requirements," June 11, 1993
- (c) Title 5, Code of Federal Regulations, Part 1320, "Controlling Paperwork Burdens of the Public," current edition
- (d) DoD 5400.11-R "Department of Defense Privacy Program," August 31, 1983, authorized by DoD Directive 5400.11, June 9, 1982
- (e) [DoD 7750.7-M](#), "DoD Forms Management Program Procedures Manual," May 31, 1990, authorized by DoD Instruction 7750.7, "DoD Forms Management Program," May 31, 1990
- (f) DoD 8320.1-M, "Data Administration Procedures," March 1994, authorized by DoD Directive 8320.1, September 26, 1991
- (g) Chapter 35, of title 44, United States Code
- (h) Public Law 104-106, "National Defense Authorization Act for Fiscal Year 1996, Division E, "Clinger-Cohen Amendment" (formerly "Information Technology Management Reform Act of 1996")
- (i) Title 41, Code of Federal Regulations, Part 101-11.103(e)(2), "Creation Maintenance and Use of Agency Records," current edition
- (j) Title 41, Code of Federal Regulations, Part 101-11.204, "Interagency Reports Management Program," current edition
- (k) [DoD Instruction 1100.13](#), "Surveys of Department of Defense Personnel," November 21, 1996
- (l) DoD 5025.1-M, "DoD Directives System Procedures," August 1994, authorized by DoD Directive 5025.1, June 24, 1994
- (m) Public Law 104-13, "Paperwork Reduction Act of 1995," October 1995
- (n) Office of Management and Budget Circular A-130, "Management of Federal Information Resources," February 8, 1996
- (o) Section 552a of title 5, United States Code, "The Privacy Act of 1974," as amended
- (p) DoD 8910.1-L, "Listing of Approved Recurring Information Requirements," authorized by DoD Directive 8910.1, "Management and Control of Information Requirements," June 11, 1993
- (q) "Resource Manual for Customer Surveys" Statistical Policy Office, Office of Management and Budget, Executive Office of the President, October 1993
- (r) Chapter 88, Section 1782 of title 10, United States Code, "Surveys of Military

- Families" added by Section 568(a)(1), Public Law 104-106, "National Defense Authorization Act for Fiscal Year 1996"
- (s) Section 41 of title 15, United States Code, "Federal Trade Improvement Act of 1980"
 - (t) Section 1311 of title 15, United States Code, "Anti-trust Civil Process Act"
 - (u) Federal Register, Volume 55, pages 38445-38470, September 18, 1990 "Federal Register Thesaurus of Indexing Terms"
 - (v) DoD 4525.8-M, "DoD Official Mail Manual," July 1987, authorized by DoD Directive 4525.6, May 5, 1980
 - (w) DoD 7000.14-R, "DoD Financial Management Regulations," Volume 4, "Accounting Policy and Procedures," January 1995, authorized by DoD Instruction 7000.14, "DoD Financial Management Policy and Procedures"
 - (x) [DoD Directive 5200.26](#), "Defense Investigative Program," June 12, 1979
 - (y) [DoD Directive 5200.27](#), "Acquisition of Information Concerning Persons and Organizations Not Affiliated with the Department of Defense," January 7, 1980
 - (z) Sections 2101 et seq., 2501 et seq., 2701 et seq., 2901 et seq., and 3101 et seq., of title 44 United States Code, "Federal Records Act of 1950"
 - (aa) [DoD Directive 5545.2](#), " DoD Directive 5545.2, "DoD Policy for Congressional Authorization and Appropriations Reporting Requirements," July 22, 1996
 - (ab) DoD Instruction 7041.3, "Economic Analysis for Decision-making," November 7, 1995

AL1. ABBREVIATIONS and/or ACRONYMS

AL1.1.	<u>ADN</u>	Agency Disclosure Notice
AL1.2.	<u>ADP</u>	Automated Data Processing
AL1.3.	<u>AIS</u>	Automated Information System
AL1.4.	<u>ASD</u>	Assistant Secretary of Defense
AL1.5.	<u>CDAAd</u>	Component Data Administrator
AL1.6.	<u>CFR</u>	Code of Federal Regulations
AL1.7.	<u>CIO</u>	Chief Information Officer
AL1.8.	<u>C3I</u>	Command, Control, Communications, and Intelligence
AL1.9.	<u>DAR</u>	Defense Acquisition Regulation
AL1.10.	<u>DARPA</u>	Defense Advanced Research Projects Agency
AL1.11.	<u>DCAA</u>	Defense Contract Audit Agency
AL1.12.	<u>DIOR</u>	Directorate for Information Operations and Reports
AL1.13.	<u>DISA</u>	Defense Information Systems Agency
AL1.14.	<u>DLA</u>	Defense Logistics Agency
AL1.15.	<u>DMDC</u>	Defense Manpower Data Center
AL1.16.	<u>DoD</u>	Department of Defense
AL1.17.	<u>DSAA</u>	Defense Security Assistance Agency
AL1.18.	<u>DSS</u>	Defense Security Service
AL1.19.	<u>DSWA</u>	Defense Special Weapons Agency
AL1.20.	<u>FDAd</u>	Functional Data Administrator
AL1.21.	<u>FPMR</u>	Federal Property Management Regulations
AL1.22.	<u>FR</u>	Federal Register
AL1.23.	<u>GSA</u>	General Services Administration
AL1.24.	<u>ICB</u>	Information Collection Budget
AL1.25.	<u>ICD</u>	Information Control Division
AL1.26.	<u>IMCO</u>	Information Management Control Officer
AL1.27.	<u>IRCN</u>	Interagency Report Control Number
AL1.28.	<u>IRM</u>	Information Resources Management
AL1.29.	<u>JCS</u>	Joint Chiefs of Staff
AL1.30.	<u>NIMA</u>	National Imagery and Mapping Agency
AL1.31.	<u>NPRM</u>	Notice of Proposed Rule-Making
AL1.32.	<u>OASD</u>	Office of the Assistant Secretary of Defense
AL1.33.	<u>OF</u>	Optional Form
AL1.34.	<u>OIG</u>	Office of the Inspector General
AL1.35.	<u>OMB</u>	Office of Management and Budget

AL1.36.	<u>OSD</u>	Office of the Secretary of Defense
AL1.37.	<u>OUSD</u>	Office of the Under Secretary of Defense
AL1.38.	<u>PRA</u>	Paperwork Reduction Act
AL1.39.	<u>P&R</u>	Personnel and Readiness
AL1.40.	<u>RCS</u>	Report Control Symbol
AL1.41.	<u>ROTC</u>	Reserve Officers Training Corps
AL1.42.	<u>SF</u>	Standard Form
AL1.43.	<u>U.S.C.</u>	United States Code
AL1.44.	<u>USD</u>	Under Secretary of Defense
AL1.45.	<u>WHS</u>	Washington Headquarters Services

C1. CHAPTER 1

GENERAL INFORMATION

C1.1. INTRODUCTION

The effective management of reports requires an organized and continuous effort to improve the quality and economy of reporting by providing managers with needed information at the right time, in the best format, and at the lowest possible cost. This Manual specifically addresses reports management procedures for the Department of Defense.

C1.2. REISSUANCE AND PURPOSE

This Manual:

C1.2.1. Implements policy and updates responsibilities and procedures for the preparation, coordination, approval, implementation and internal review of:

C1.2.1.1. DoD Public Information Requirements (Chapter C3.);

C1.2.1.2. DoD Internal Information Requirements (Chapter C4.); and

C1.2.1.3. Interagency Information Requirements (Chapter C5.), and

C1.2.2. Provides general information regarding the additional recordkeeping and review requirements for Congressional information requirements (Chapter C6.) and surveys as they relate to DoD public, internal and interagency information requirements.

C1.3. SCOPE

C1.3.1. This Manual covers the procedures for the establishment and licensing of new information requirements and the revision or cancellation of existing requirements. These information requirements include statistical and attitude/opinion surveys, Congressional, public, interagency, and DoD internal information requirements.

C1.3.2. All information and reporting systems as well as all techniques, both

electronic and manual, are included under the provisions of this Manual unless specifically exempted.

C1.3.3. The reports management function includes the reports, forms, surveys, magnetic tapes, disks, and other media of internal agency systems or procedures as well as the reporting systems themselves.

C1.3.4. This Manual does not address the release of information requested from DoD Components by individuals or private businesses. DoD personnel should follow the guidance for public release of Defense information in accordance with DoD Directive 5230.9, "Clearance of DoD Information for Public Release" (reference (a)).

C1.4. POLICY

It is DoD policy under DoD 8910.1, "Management and Control of Information Requirements" (reference (b)) to:

C1.4.1. Ensure that sufficient information is available to achieve military effectiveness and management efficiency;

C1.4.2. Minimize and control the burden associated with the collection and reporting of information;

C1.4.3. Ensure that information requirements are valid, accurate, and essential to the mission of the user's organization;

C1.4.4. Avoid both duplication and unnecessary generation of data;

C1.4.5. Emphasize statistical sampling techniques and use of information technology as approaches for minimizing reporting workloads;

C1.4.6. Ensure that information needs are clearly identified and that reports to be generated by the system represent cost-effective use of resources in the development and operational life cycle of an automated information system (AIS);

C1.4.7. Minimize, account for, and control information collected from the public (individuals, businesses, and other private institutions) and State and local governments in accordance with Title 5, Code of Federal Regulations (CFR), Part 1320 (reference (c));

C1.4.8. Ensure that optimum effectiveness and economy in the development of information requirements is achieved;

C1.4.9. Subject each new or revised information requirement to a cost analysis;

C1.4.10. Coordinate information requirements that involve the collection of personal information on individuals consistent with the provisions of DoD 5400.11-R (reference (d));

C1.4.11. Approve and symbolize DoD internal information requirements; i.e., assigned a report control symbol (RCS), at the Component level generating the requirement;

C1.4.12. Submit requests for forms used to collect information in accordance with DoD 7750.7-M (reference (e));

C1.4.13. Evaluate and screen each item of data in the information requirement against data in existing information collections to determine whether such information can satisfy the requirement;

C1.4.14. Standardize data used to support DoD operations and decision-making or in an AIS that requires horizontal and/or vertical sharing of data in accordance with DoD 8320.1-M (reference (f));

C1.4.15. Approve and symbolize, on a case-by-case basis, special, one-time, high priority, or time-urgent information requirements without being subjected to in-depth review and analysis, provided a statement of urgency is included with the request for approval;

C1.4.16. Refuse to honor information requirements that have not been properly approved and symbolized;

C1.4.17. Establish provisions for setting annual goals, consistent with critical mission needs, to reduce the number or frequency of reports; and

C1.4.18. Ensure that ongoing information requirements are assessed for validity, necessity, and adequacy no less frequently than every three years.

C1.5. OBJECTIVES

C1.5.1. The Primary Objectives of the DoD Reports Management Program are to:

C1.5.1.1. Identify the information needs of managers at every organizational level;

C1.5.1.2. Collect, transmit, process, and store information through the most economical use of personnel, funds, and equipment;

C1.5.1.3. Prevent the imposition of invalid, inefficient, or unnecessary reports;

C1.5.1.4. Coordinate reports management with related information resources management activities such as forms management and data standardization;

C1.5.1.5. Subject reports and reporting systems to a continuous, objective review for quality and economy of reporting; and

C1.5.1.6. Provide necessary security for the information to the degree warranted by its sensitivity.

C1.5.2. The DoD Reports Management Program:

C1.5.2.1. Reduces voluminous data accumulation by eliminating unnecessary and duplicate reports;

C1.5.2.2. Provides a systematic means for improving the flow and content of information;

C1.5.2.3. Provides a means for measuring the value of information against the cost of collecting it;

C1.5.2.4. Improves reporting methods and techniques by applying information processing technology; and

C1.5.2.5. Reduces agency costs.

C1.6. RESPONSIBILITIES

C1.6.1. The Assistant Secretary of Defense for Command, Control, Communications, and Intelligence (ASD(C3I)), as the Department of Defense Chief

Information Officer (CIO), is assigned overall policy for the DoD Reports Management Program and implements:

C1.6.1.1. Chapter 35 of Title 44, United States Code (reference (g)), as amended by Section 5125(a) of Public Law 104-106, “National Defense Authorization Act for Fiscal Year 1996,” Division E, “Clinger-Cohen Act” (formerly “Information Technology Management Reform Act of 1996”) (reference (h)), consistent with the guidance prescribed by the Office of Management and Budget;

C1.6.1.2. 41 CFR 101-11.103(e)(2) (reference (i)); and

C1.6.1.3. 41 CFR 101-11.204 (reference (j)).

C1.6.2. The Office of the Under Secretary of Defense for Personnel and Readiness (OUSDP&R) shall, before submission to the Director, Washington Headquarters Services (WHS), approve all attitude and opinion surveys requiring the participation of personnel in multiple DoD Components, as required by DoD Instruction 1100.13 (reference (k)). The DoD Components, other than OSD, have their own implementing guidance for their internal reports. See Chapter C4., paragraph C4.5., “DoD Component Procedures.”

C1.6.3. The Directorate for Information Operations and Reports (DIOR), Washington Headquarters Services (WHS), shall be responsible for the overall operation of the DoD Reports Management Program, to include:

C1.6.3.1. Symbolizing OSD internal information requirements;

C1.6.3.2. Processing public and interagency information requirements;

C1.6.3.3. Publishing this Manual;

C1.6.3.4. Conducting DoD-wide termination reviews of Congressional information requirements to include recurring reports, certifications and notifications; and

C1.6.3.5. Executing the Information Collection Budget (ICB).

C1.6.4. The Heads of the DoD Components shall:

C1.6.4.1. Not respond to unlicensed information requirements that are not exempt;

C1.6.4.2. Establish an information requirements control activity under the CIO and to assign an Information Management Control Officer (IMCO) to serve as the key point of contact;

C1.6.4.3. Submit requests for information collections from the public or other Federal Agencies to WHS/DIOR;

C1.6.4.4. Coordinate their survey requirements with responding DoD Component survey control offices;

C1.6.4.5. Ensure that users justify new information requirements before submission for approval;

C1.6.4.6. Maintain cost information on each approved information requirement;

C1.6.4.7. Obtain WHS/DIOR approval when information is collected from one or more DoD Components other than the requesting DoD Component;

C1.6.4.8. Establish goals for the reduction in the number or frequency of their internally prescribed reports; and

C1.6.4.9. Ensure that users assess their ongoing information requirements no less frequently than every three years.

C1.6.5. The Heads of the OSD Components shall:

C1.6.5.1. Not respond to unlicensed information requirements that are not exempt;

C1.6.5.2. Assign an IMCO to serve as the key point of contact for their respective functional areas;

C1.6.5.3. Submit their information requirement requests through the OSD Component IMCO to WHS/DIOR;

C1.6.5.4. Establish and implement standards and procedures for initiating, identifying, reviewing, approving, preparing, distributing, and discontinuing internal reporting requirements;

C1.6.5.5. Ensure that Directives and Instructions containing information

requirements are updated in accordance with DoD 5025.1-M (reference (1));

C1.6.5.6. Provide for the periodic review of approved reports for need, adequacy, design, economy of preparation and use;

C1.6.5.7. Submit their survey information requirements to the OUSD(P&R) for approval prior to submitting their requests to WHS/DIOR;

C1.6.5.8. Coordinate their survey requirements with responding DoD Component survey control offices;

C1.6.5.9. Assess their ongoing information requirements no less frequently than every three years; and

C1.6.5.10. Submit their respective information collection budgets to WHS/DIOR.

C2. CHAPTER 2

DoD REPORTS MANAGEMENT PROGRAM

C2.1. PURPOSE

The purpose of this chapter is to identify and describe each of the areas that comprise the DoD Reports Management Program.

C2.2. PUBLIC INFORMATION REQUIREMENTS - CHAPTER C3.

C2.2.1. Public information requirements are those that require responses from members of the public; the term "public-use reports" was used frequently in past years.

C2.2.2. Public information requirements are subject to Office of Management and Budget (OMB) review and clearance and are covered by Title 5 CFR 1320 (reference (c)). Public information requirements must, unless exempt, be approved by OMB and assigned an OMB control number and expiration date to license the collection.

C2.2.3. Chapter 35 of Title 44, United States Code (reference (g)), as amended by Public Law 104-13, "The Paperwork Reduction Act of 1995," (reference (m)) establishes a broad mandate for agencies to perform their information resources management activities in an efficient, effective, and economical manner. OMB A-130 (reference (n)) implements OMB authority to provide uniform Government-wide information resources management policies as required by reference (g).

C2.2.4. Members of the public are considered to be individuals, households, private firms, companies, contractors, Federal employees in special circumstances, and others. Current Federal civilian employees and Military Personnel are considered members of the public, if the collection of information is addressed to them in their capacity as individual private citizens.

C2.2.5. Special collection requirements, as set forth in DoD 5400.11-R (reference (d)), may exist when personal information is to be collected from U.S. citizens or aliens lawfully admitted for permanent residence.

C2.2.6. Chapter C3. of this Manual issues the procedures to obtain OMB approval to collect information from the public and the requirement to provide to the responding public, either orally or in writing, an Agency Disclosure Notice (ADN).

C2.3. DoD INTERNAL INFORMATION REQUIREMENTS - CHAPTER C4.

C2.3.1. DoD internal information requirements pertain to information required at any level within the DoD for internal management or to report to the Legislative or Judicial branches of the Federal Government. For the purposes of this Manual, internal information means those information requirements internal to a particular DoD Component and/or licensed by that Component.

C2.3.2. DoD internal information requirements constitute the bulk of DoD reporting and are subject to Title 41 CFR Part 101-11.103(e)(2) (reference (i)) and required by DoD Directive 8910.1 (reference (b)).

C2.3.3. OSD Components that need information from one or more DoD Components, must, unless exempt, be assigned an RCS by WHS/DIOR to license the information requirement.

C2.3.4. OSD internal information requirements that are also interagency information requirements must be submitted to the General Services Administration (GSA) for clearance in accordance with the procedures in Chapter C5. of this Manual.

C2.3.5. A statement identifying recurring OSD internal information requirements and the assigned RCS shall be made in the Information Requirements section of the DoD issuance in accordance with DoD 5025.1-M (reference (l)).

C2.3.6. DoD Components should establish reports management programs and procedures to license their organization's internal information requirements. General information for establishing a reports control activity is provided in Chapter C4. of this Manual.

C2.3.7. Chapter C4. of this Manual issues the procedures for reviewing and licensing DoD internal information requirements imposed by the Office of the Secretary of Defense (OSD) on the DoD Components under the authority of DoD Directive 8910.1 (reference (b)). It also references the regulations and instructions (procedures) for reviewing and licensing DoD internal information requirements imposed by the DoD Components on their subordinate commands. See Chapter C4., paragraph C4.5., "DoD Component Procedures."

C2.4. INTERAGENCY INFORMATION REQUIREMENTS - CHAPTER C5.

C2.4.1. Interagency information requirements are those which involve the exchange of information between Federal Agencies.

C2.4.2. Interagency information requirements must be submitted to GSA for review and clearance and are subject to the provisions of Title 41 CFR, Part 101-11.204, (reference (j)).

C2.4.3. The DoD Components that require information from one or more Federal Agencies must, unless exempt, obtain an Interagency Report Control Number (IRCEN) issued by the GSA.

C2.4.4. Interagency information requirements that are also public information requirements shall be submitted to OMB for clearance in accordance with Chapter C3. of this Manual.

C2.4.5. Interagency information requirements that are also DoD internal information requirements must be licensed in accordance with the procedures in Chapter C4. of this Manual.

C2.4.6. If another Federal Agency is requesting information from one or more DoD Components, that Agency must have a valid IRCEN cited on the request for information. If the request does not display a valid IRCEN, and the collection is not exempt, the DoD Components are not obligated to respond.

C2.4.7. Chapter C5. of this Manual issues the procedures to license an interagency information requirement.

C2.4.8. Release of personal information to other Federal Agencies may be subject to special disclosure requirements as set forth in DoD 5400.11-R (reference (d)).

C2.5. CONGRESSIONAL INFORMATION REQUIREMENTS - CHAPTER 6

C2.5.1. Congress is exempt from OMB and GSA reports review and licensing requirements. The responding agency, in this case DoD, is not. DoD policy is to provide the same level of analysis and response provided to the other categories of reports. Analysis and licensing of recurring Congressional information requirements including reports, certifications and notifications is the responsibility of the responding DoD Component. When the response requires information from more than one DoD Component the response to the Congress shall be from the responsible OSD

Component for that functional area.

C2.5.2. Congressional information requirements may be subject to DoD internal and external licensing requirements.

C2.5.3. The DoD Components must establish internal procedures necessary to manage their Congressional information requirements.

C2.5.4. Chapter C6. of this Manual provides general information on Congressional information requirements.

C2.6. SURVEYS OF DoD PERSONNEL

C2.6.1. All attitude and opinion surveys requiring the participation of military or civilian personnel in any DoD Component, other than the sponsoring Component, must be approved by OUSD(P&R) in accordance with DoD Instruction 1100.13, (reference (k)). The DoD Components and Military Departments shall coordinate their internal survey requirements with their respective survey organizations, when applicable.

C2.6.2. DoD internal report control symbols assigned to one-time surveys will expire one year from the date of issue and, unless extended, will be canceled from the inventory by WHS/DIOR after consultation with the requiring DoD Component IMCO and/or project officer. If the survey has not been conducted or completed during the year, the requiring DoD Component must request an extension.

C2.6.3. Surveys not identified in a DoD issuance or required by executive-level correspondence should be approved by an authority at a sufficient level within the organization to obligate the resources necessary to conduct the survey.

C2.6.4. Surveys conducted by the Military Departments or the Defense Agencies of personnel in one or more other DoD Components should be sponsored by their OSD Component functional area counterpart.

C2.6.5. Survey instruments used to collect information from the public should prominently display an Agency Disclosure Notice, a Privacy Act Statement (when applicable), and, in the upper right-hand corner of the cover, the OMB Control Data (control number and expiration date).

C2.6.6. Survey instruments used to collect information from other Federal Agencies should prominently display the Interagency Report Control Number in the

upper right-hand corner of the survey cover.

C2.6.7. Survey instruments used to collect information from the DoD Components should prominently display the DoD Internal Report Control Symbol in the upper right-hand corner of the cover.

C2.6.8. Survey instruments used to collect information from a combination of the public, other Federal Agencies and the DoD Components should prominently display the OMB Control Data, the Interagency Report Control Number and the DoD Internal Report Control Symbol in the upper right-hand corner of the cover, as applicable.

C2.7. DEFINITIONS - GENERAL

C2.7.1. Data Transmission. Data transmission consists of activities involved in the delivery of system outputs to users.

C2.7.2. Documentation. The documents or records containing information on the organization, functions, policies, decisions, procedures, and essential transactions of Agency reports management activities.

C2.7.3. Flowchart. A diagram that shows the step-by-step progression through a procedure or system especially using connecting lines and a set of conventional symbols.

C2.7.4. General Purpose Statistics. Statistics collected primarily for public and general government use, without reference to policy or program operations of the Agency collecting the information. Agencies should conduct statistical surveys that are designed to produce results that can be generalized to the universe of the study.

C2.7.5. Information Collection Request. A written or verbal report, application, schedule, survey, questionnaire, reporting or recordkeeping requirement, or other similar method calling for the collection of information.

C2.7.6. Information Management Control Officer. The single point of contact within an OSD or DoD Component responsible for the establishment, revision, and cancellation of information requirements.

C2.7.7. 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 or maintenance of forms and formats, or

reporting or recordkeeping systems, whether manual or automated.

C2.7.8. Information Resources Management. The planning, budgeting, organizing, directing, training, and administrative control associated with Federal Government information resources. The term encompasses both information itself and the related resources, such as personnel, equipment, funds, and information technology.

C2.7.9. Management Information. Management information is data or information needed 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 other form, and may be displayed on paper documents, magnetic tapes, terminal responses, or in other forms.

C2.7.10. Methods of Collection. The mechanism, or method, by or through which a Federal Agency conducts or sponsors a collection of information.

C2.7.10.1. The method used does not affect the requirement that the information collection be approved and symbolized.

C2.7.10.2. Written reports, applications, schedules, surveys, questionnaires, reporting or recordkeeping requirements, or other similar methods are collections of information. They may be conducted by mail or through personal or telephone interviews, group interviews, communicated via electronic media, automated collection techniques, Federal regulation, or any other approach through which the respondent or potential respondent can be informed of the questions to which response is requested or required.

C2.7.10.3. Similar methods may include contracts, agreements, policy statements, plans, rules or regulations, planning requirements, circulars, directives, instructions, bulletins, requests for proposal or other procurement requirements, interview guides, disclosure requirements, labeling requirements, telegraphic or telephonic requests, and standard questionnaires used to monitor compliance with agency requirements.

C2.7.11. Need. Some programmatic or policy necessity or requirement exists, including Congressional requirements.

C2.7.12. Practical Utility. The usefulness of the information being collected (considering its accuracy, adequacy, and reliability) to carry out the Agency's functions

in a timely manner.

C2.7.13. Privacy Act (Section 552a, Title 5, U.S.C. (reference (o))). The Act regulates the collection, maintenance, use, and disclosure of personal information by Federal agencies. When surveys of DoD personnel are subject to the provisions of the Act, the agency must establish procedures, consistent with and pursuant to the requirements of DoD 5400.11-R (reference (d)), to ensure that the personal privacy of the individual is protected.

Note: DoD Components should establish procedures for identifying reports containing personal information and information protected by the Privacy Act for preventing the disclosure of such information to unauthorized individuals or organizations.

C2.7.14. Program. The particular activity for which a manager is responsible at any organization level.

C2.7.15. Program Element. A function or segment of the program. Program elements constitute all the functions of a particular program.

C2.7.16. Purpose. The collection of information will, or is expected to, achieve a result within the statutory, programmatic or policy requirements of the sponsoring Agency, and will, or is expected, to be used on a timely basis.

C2.7.17. Report. Data or information that is prepared for use in determining policy; planning, controlling, and evaluating operations and performance; making administrative decisions or preparing other reports. The data or information may be graphic or in another form, and may be on paper, magnetic tapes, on or through the World Wide Web, or other media.

C2.7.18. Reports Management Function. This function includes the reports, forms, magnetic tapes, disks, and other media of internal Agency systems or procedures as well as the reporting systems themselves. The reports management function is primarily concerned with public, interagency, DoD internal and Congressional information requirements.

C2.7.19. Sampling. A technique for extracting a finite part of a statistical population whose properties are studied to gain information about the whole.

C2.7.20. Surveys of Persons. Systematic data collections, using personal or telephonic interviews, or self-administered questionnaires, from a sample of ten or

more persons as individuals or representatives of Agencies, which solicit attitudes, opinions, behavior, and related demographic, social and economic data to identical questions including those that are to be used for statistical compilations for research and/or policy assessment purposes.

C2.7.21. Unnecessary Duplication. Information exactly alike or corresponding to information that could serve the Agency's purpose and need is already available to the Agency.

C2.8. PUBLISHED LISTINGS

C2.8.1. OMB, Office of Information and Regulatory Affairs, publishes the "List of Active Reports Approved Under the Federal Reports Act" on a monthly basis. This report contains the official status of the reports approved by OMB as of that point in time and serves as the official record of burden hours being expended by the public. This report is used in the formulation of the upcoming fiscal year Information Collection Budget (ICB).

C2.8.2. GSA, Office of Information Resources Management, publishes the annual "Inventory of Approved Interagency Reports." The listing is sorted by agency and provides the Interagency Report Control Number, report title, prescribing directive, respondents, and expiration date.

C2.8.3. WHS/DIOR publishes DoD 8910.1-L (reference (p)) as required by DoD Directive 8910.1 (reference (b)). The listing provides information on active, canceled and expired DoD internal and interagency reporting requirements and information on active and canceled public information collections. Active listings for these information collections are published monthly on the Internet under DefenseLINK, Publications.

C2.8.4. WHS/DIOR prepares and distributes monthly reports containing information on DoD internal, interagency, and public information requirements. The reports are primarily for use by OSD Component IMCOs in managing their programs. The reports provide information on reporting requirements that have been added, canceled, revised, have expired or that will expire in the next 90 days.

C2.8.5. WHS/DIOR maintains a "Listing of Recurring Congressional Reports" containing active recurring reporting requirements found in Public Law or the United States Code. The listing is updated as required and published on the Internet under DefenseLINK, Publications for reference by all DoD Component IMCOs and their

Congressional liaison counterparts.

C2.8.6. WHS/DIOR from time to time will forward special reports to advise IMCOs of the status of their reports programs. IMCOs may request special reports from WHS/DIOR at any time.

C2.9. RESPONSIBILITIES

C2.9.1. DoD Components. Each DoD Component, in providing for effective controls over the creation of records, is expected to establish an appropriate program for the management of its information requirements. It is the responsibility of the DoD Components to:

C2.9.1.1. Not respond to unlicensed information requirements that are not exempt;

C2.9.1.2. Establish a reports control activity under the Chief Information Officer as required by DoD Directive 8910.1 (reference (b)) and to assign an IMCO, Reports Manager, Reports Control Liaison, Officer, or Specialist to serve as the key point of contact;

C2.9.1.3. Process, assign, extend, reinstate, and cancel their internal information requirements;

C2.9.1.4. Coordinate cross-component information collections that require attitude/opinion surveys with OUSD(P&R) in accordance with DoD Instruction 1100.13 (reference (k));

C2.9.1.5. Submit requests for information collections from the public and other Federal Agencies to WHS/DIOR;

C2.9.1.6. Notify WHS/DIOR when unlicensed or expired reporting requirements are imposed; and

C2.9.1.7. Notify WHS/DIOR of actions taken to stop information collections, which have not been approved, when identified within their component.

C2.9.2. OSD Components. Each OSD Component, in providing for effective controls over the creation of records, is expected to establish an appropriate program for the management of its information requirements. It is the responsibility of OSD

Components to:

C2.9.2.1. Not respond to unlicensed information requirements that are not exempt;

C2.9.2.2. Assign an IMCO to serve as the key point of contact;

C2.9.2.3. Submit requests through the OSD Component IMCO to WHS/DIOR for public, interagency, and DoD internal and survey information requirements;

C2.9.2.4. Establish and implement standards and procedures for initiating, identifying, reviewing, approving, preparing, distributing, and discontinuing DoD internal information requirements;

C2.9.2.5. Ensure that issuances containing OSD internal information requirements are updated in accordance with applicable Directives;

C2.9.2.6. Provide for the periodic review of approved reports for need, adequacy, design, and economy of preparation and use;

C2.9.2.7. Ensure that all surveys are coordinated with the OUSD(P&R);

C2.9.2.8. Establish and implement standards and procedures for designing management information systems, including the design of reports used in those systems;

C2.9.2.9. Notify WHS/DIOR when unlicensed or expired reporting requirements are imposed;

C2.9.2.10. Notify WHS/DIOR of actions taken to stop information collections, which have not been approved, when identified within your component; and

C2.9.2.11. Ensure that all surveys, if subject to the provisions of The Privacy Act of 1974 (reference (o)), satisfy the requirements of DoD 5400.11-R (reference (d)).

C2.9.3. Information Management Control Officer (IMCO). The responsibilities of the OSD Component IMCOs are to:

C2.9.3.1. Serve as a technical advisor to program managers and

administrators on matters concerning information requirements;

C2.9.3.2. Review and screen requests for public, interagency, DoD internal and survey information requirements;

C2.9.3.3. Process documentation requirements to assign, extend, reinstate, and cancel their public, interagency, DoD internal and survey information requirements;

C2.9.3.4. Manage the Information Collection Budget (ICB) for their organizations;

C2.9.3.5. Resolve problems associated with the reports management function relative to their respective organizations and missions;

C2.9.3.6. Maintain inventories and records of the information collections under their cognizance;

C2.9.3.7. Participate in internal or DoD-wide reviews of reports and reports management activities;

C2.9.3.8. Notify WHS/DIOR when unlicensed or expired reporting requirements are imposed; and

C2.9.3.9. Distribute approval notices from OMB, GSA, WHS/DIOR and their respective Headquarters to their appropriate offices.

C2.9.4. OASD(C3I) is assigned the overall policy for the DoD Reports Management Program and is responsible for:

C2.9.4.1. Publishing DoD Directive 8910.1 (reference (b));

C2.9.4.2. Establishing annual report reduction goals; and

C2.9.4.3. Formulating the DoD ICB.

C2.9.5. WHS/DIOR is responsible for the overall operation of the DoD Reports Management Program, which includes:

C2.9.5.1. Processing DoD public and interagency information requirements and approving OSD internal information requirements;

C2.9.5.2. Publishing this Manual;

C2.9.5.3. Publishing the DoD 8910.1-L (reference (p));

C2.9.5.4. Publishing, annually, the "Program Activity Reports" for forwarding to the IMCOs;

C2.9.5.5. Publishing the "Listing of Recurring Congressional Information Requirements;"

C2.9.5.6. Advising OASD(C3I) on annual reports control activity and recommending reports reduction reviews;

C2.9.5.7. Conducting DoD-wide reports reduction reviews in coordination with DoD Component IMCOs and their Congressional liaison counterparts; and

C2.9.5.8. Executing the ICB.

C3. CHAPTER 3

DoD PUBLIC INFORMATION REQUIREMENTS

C3.1. PURPOSE

Chapter 35 of Title 44 U.S.C. (reference (g)) and its implementing regulation, 5 CFR 1320 (reference (c)) cover the policy for collecting information from the public and have as their stated purpose to:

C3.1.1. Minimize the Federal paperwork burden on the public and the cost to the Federal Government of collecting, maintaining, using, and disseminating information;

C3.1.2. Maximize the usefulness of the information;

C3.1.3. Coordinate Federal information policies and practices;

C3.1.4. Improve the quality and use of Federal information and provide for the dissemination of information through effective use of information technology; and

C3.1.5. Ensure information is managed in accordance with applicable laws including those related to privacy and confidentiality, security of information and access to information.

C3.2. SCOPE

This chapter provides the necessary procedures for DoD Components to establish, revise, extend, and cancel information collections from members of the public. It includes detailed guidance on the preparation of OMB Form 83-I, "Paperwork Reduction Act Submission (See figures C3.F2. and C3.F3. (pages 1 and 2)), " a supporting statement (See figures C3.F3. (pages 3 and 4), C3.F4. and C3.F5.), and a 60-day Federal Register Notice (See figure C3.F6.), all of which are required by OMB before their review of a public information collection proposal.

C3.3. DEFINITIONS

C3.3.1. Agency Disclosure Notice. The disclosure, on each collection of information, of the Agency estimate on the average burden hours per response required to respond to the collection. Included with the estimate of burden is a request that the

public direct comments concerning the accuracy of this estimate and any suggestions for reducing the burden to the Agency and to OMB. An Agency Disclosure Notice must be placed on copies of public information collections printed or reproduced after July 1, 1988.

C3.3.2. Burden Hours. See Public Burden (C3.3.5, below).

C3.3.3. Collection of Information. All oral, written, or electronically transmitted expressions of opinion or fact requested or required of ten or more persons by or for the Executive Branch, except those specifically exempted, require OMB approval and must display currently valid OMB control numbers. The collection must ask respondents to provide, disclose, or record facts or opinions in response to identical questions and must display a currently valid OMB control number, expiration date, and notice of legal consequences of failing to display the control number. Exceptions to displaying an expiration date must be requested, justified and approved by OMB.

C3.3.4. DoD Clearance Officer. The individual or office assigned the Department of Defense-wide responsibilities for managing public information reporting requirements. The DoD Clearance Officer is organizationally assigned to Washington Headquarters Services/Directorate for Information Operations and Reports (WHS/DIOR), Information Control Division.

C3.3.5. Public Burden. The total time, effort, or financial resources required to respond to a collection of information, including that to:

C3.3.5.1. Read or hear and then understand the instructions;

C3.3.5.2. Develop, modify, construct, monitor or assemble any materials or equipment necessary to collect and report the data or keep records;

C3.3.5.3. Compile information from records, and/or to conduct tests, interviews, inspections, polls, observations, or other activities necessary to obtain the information;

C3.3.5.4. Organize the information into the requested format;

C3.3.5.5. Review its accuracy and its method of presentation;

C3.3.5.6. Maintain, disclose, reproduce, disseminate, or report the information, and

C3.3.5.7. Respond to any follow-up request initiated by the Agency or others affected by the information for clarification, further information or verification.

C3.4. APPLICABILITY

Chapter 35 of Title 44 U.S.C. (reference (g)) applies to the Executive Agencies, Government corporations, Government-controlled corporations, and independent regulatory Agencies. Reference (g), as amended by Section 5125(a) of Public Law 104-106 (reference (h)) includes a provision that every Federal Agency designate a Chief Information Officer (CIO), who reports directly to the Agency head, to be responsible for that Agency's compliance with reference (g). The CIO for the Department of Defense is the Assistant Secretary of Defense for Command, Control, Communications, and Intelligence.

C3.5. RESPONSIBILITIES

C3.5.1. Office of Management and Budget (OMB).

C3.5.1.1. Reviews and approves proposed Agency information collections;

C3.5.1.2. Develops and oversees the implementation of uniform and consistent resource management policies, principles, standards, and guidelines, and promoting their use; and

C3.5.1.3. Reviews Agency paperwork reduction activities in connection with the Agency's fiscal budget, information collection budget, management oversight, procurement policy, regulatory policy, Automatic Data Processing (ADP) and telecommunications, and statistical policy functions.

C3.5.2. Federal Agencies. Federal Agencies shall not collect information from the public without first obtaining OMB approval, and should not seek to enforce or request compliance with disapproved or expired collections of information. Agencies shall ensure that a proposed collection:

C3.5.2.1. Imposes the least burden that is necessary for the performance of the Agency's function;

C3.5.2.2. Will not unnecessarily obtain information already available;

C3.5.2.3. Has practical utility. (i.e., the actual, not merely the theoretical or potential usefulness of the information being collected, considering its accuracy, adequacy, and reliability, and the Agency's ability to process the information in a useful and timely fashion);

C3.5.2.4. Minimizes the Agency's cost of collections without shifting disproportionate costs or burden onto the public; and

C3.5.2.5. Satisfies the OMB guidelines described in paragraph C3.6., of this Chapter, below.

C3.5.3. Public.

C3.5.3.1. Notices of Proposed Information Collections Available for Public Comment are published in the Federal Register prior to the proposal being submitted to OMB. The public has 60 days in which to provide comments to the sponsoring Agency concerning the proposed information collection. The sponsoring Agency uses the public comments to evaluate the overall need for the collection, as well as for the possibility of revision of the collection. A copy of the Federal Register Notice, as well as a summary of the results of the Federal Register action, become a part of the proposal that is submitted to OMB for review and approval.

C3.5.3.2. Notices of Agency Information Collections Under OMB Review are published in the Federal Register at the same time the proposed collection is forwarded to OMB for review and approval. The public normally has 30 days in which to provide comments to OMB concerning an information collection. OMB uses the public comments to help ensure that the information proposed to be collected is not already available, that the collection will meet the stated need and purpose, and that appropriate efforts are being made to minimize burden and maximize practical utility.

C3.6. OMB GUIDELINES

OMB guidelines for collecting information from the public must be satisfied. These OMB guidelines concern:

C3.6.1. Consultation with the Interested Agencies and Members of the Public to Minimize the Reporting Burden. Agencies should consult with a cross section of potential respondents or their representatives to obtain estimates of the burden involved in complying with the request. These consultations should include not more

than nine persons. Alternatively, Agencies may utilize public responses received from comment solicitation notices published in the Federal Register.

NOTE: Consultation in the sense of this guideline does not mean, and should not be confused with consultants, per se.

C3.6.2. Frequency, response time, and number of copies.

C3.6.2.1. Frequency. Information should not be reported more often than quarterly.

C3.6.2.2. Response Time. Written response should not be required sooner than 30 days after respondents have received the request for information.

C3.6.2.3. Number of Copies. Respondents should not be required to submit more than an original and two copies of a document.

C3.6.3. Nature and Format of Information Respondents Are to Keep or Submit, and the Record Retention Period.

C3.6.3.1. Information Format. As far as possible, avoid requiring respondents to maintain or provide information in a format different from that in which they customarily maintain it.

C3.6.3.2. Retention Period. Respondents should not be required to retain records, other than health, medical, Government contract, grant-in-aid, or tax records, for more than three years.

C3.6.4. Remuneration of Respondents. Agencies should not provide for any payment or gift to respondents, other than remuneration of contractors or grantees, unless an explanation has been provided to OMB as part of the information collection proposal and has received OMB approval. This requirement constitutes Item 9 of the Supporting Statement.

C3.6.5. Statistical Surveys. Agencies should conduct statistical surveys that are designed to produce results that can be generalized to the universe of the study. Additionally, information collections should not require the use of statistical data classifications that have not been approved by OMB. For additional guidance on conducting statistical surveys, see Appendix D., "Contracting for Surveys" of the OMB Publication "Resource Manual for Customer Surveys," (reference (q)).

C3.6.6. Confidential Information. Respondents should not be required to submit proprietary, trade secret, or other confidential information unless the Agency can demonstrate that it has instituted procedures to protect the information's confidentiality to the extent permitted by law.

C3.6.7. Simplified Requirements for Small Entities. The Agency should take all practical steps to develop simplified requirements for small businesses or entities.

C3.6.8. Use of Automated Collection Techniques and Other Forms of Information Technology to Reduce Burden on Respondents. The Agency should consider reducing the burden on respondents by use of automated collection techniques or other forms of information technology.

C3.6.9. Method of Collection. The mechanism or method by which a Component conducts or sponsors a collection of information does not affect the requirements that an agency seek OMB approval. The collection of information may be in any form or format, including, but not limited to report forms; application forms; questionnaires; surveys; requests for proposal or other procurement requirements; interview guides; oral communications; focus groups; telegraphic or telephonic requests; automated, electronic, mechanical, or other technological collection techniques.

C3.6.9.1. An electronic questionnaire, attached to an Internet site, which asks identical, specific questions of ten or more persons is subject to OMB review and approval. The approved electronic format shall display the OMB approval number and expiration date.

C3.6.9.2. An Internet "suggestion box" format such as one requesting "ideas, comments, suggestions, or anything else you would like to tell us," or one asking "if you experience any technical problems with our site, or have any suggestions for improving it, please let us know," are not considered to be identical questions. Such general solicitations of comments from the public do not require OMB approval.

C3.7. COVERAGE

C3.7.1. General. OMB approval is needed to collect information from members of the public. The purpose of this section is to:

C3.7.1.1. Define who is a member of the public for purposes of public

information collection;

C3.7.1.2. Cover the conditions under which a specific information collection may not require OMB review and approval; and

C3.7.1.3. Delineate protection afforded the respondent under the public protection clause of Chapter 35 of Title 44 U.S.C. (reference (g)).

C3.7.2. Members of the Public. Members of the public are individuals, partnerships, associations, corporations, (including operations of Government-owned, contractor-operated facilities other than "whole concept contracts"), business trusts, or legal representatives, organized groups of individuals, and State, territorial, tribal, or local governments, or components thereof.

C3.7.3. Federal Employees.

C3.7.3.1. Current Federal employees are considered members of the public if the collection of information is addressed to them in their capacity as individual private citizens. Federal employees, however, are not considered members of the public when they respond to a collection of information within the scope of their employment.

C3.7.3.2. Retired Federal employees are considered to be members of the public. Military retirees, however, are not considered to be members of the public when surveyed under reference (r).

C3.7.4. Military. Reference (r) states that the Secretary of Defense may conduct surveys of members of the Armed Forces serving on active duty or in active status, members of the families of such members, and retired members of the Armed Forces, but not retired members' dependents, to determine the effectiveness of existing Federal programs relating to military families and the need for new programs. The Secretary of Defense may also gather information about their duty status from military Reservists, members of the National Guard and, during instruction and training activities from Reserve Officer Training Corps (ROTC) cadets.

C3.7.4.1. Military Personnel on Active Duty, including military reservists and members of the National Guard:

C3.7.4.1.1. Are not considered members of the public if they are responding to questions regarding their duty status as Federal employees or to determine the effectiveness of Federal programs relating to military families and the need for new programs. In either case, the collection will not need OMB approval.

C3.7.4.1.2. Are considered members of the public, if the collection of information is addressed to them in their capacity as individual private citizens. Therefore, the collection will need OMB approval.

Note: All surveys of Military Personnel on active duty, including military reservists and members of the National Guard in active status, must be submitted to WHS/DIOR for review on a case-by-case basis. WHS/DIOR will determine whether the information collection requires OMB approval.

C3.7.4.2. Active Duty Military Dependents and Retirees are generally considered to be members of the public. They are not, however, considered members of the public if surveyed under (reference (r)). Retiree dependents are considered members of the public at all times.

C3.7.4.3. ROTC cadets are considered to be members of the public if the collection of information is addressed to them in their capacity as private citizens. They are not, however, considered members of the public when providing information to instructors during classroom and other training activities.

C3.7.5. Contractors.

C3.7.5.1. Contractors hired by a respondent to comply with the information collection request are not considered members of the public.

C3.7.5.2. Contractors with the Federal Government are considered to be members of the public for information collection purposes, and OMB approval is required to collect information from them.

C3.7.5.3. If the Federal Government sponsors, or is the recipient of the data collected from a survey conducted by a contractor, then the collection requires OMB approval. The collection must be licensed if the Government Agency dictates the questions, specifies what data will be asked of the public, or in any way influences the data parameters, or if the name of the Federal Government is invoked in any way. If, however, in providing the sponsor with information requested, the contractor devises their own questions, and uses them solely to construct the response to the Government, then it is not considered a collection of information from the public.

C3.7.6. Foreign Nationals. Foreign nationals are considered to be members of the public when the collection of information takes place in the United States.

C3.7.7. Public Protection. The public protection clause of Chapter 35 of Title 44 U.S.C. (reference (g)) affords protection to respondents in cases of improper information collecting. Notwithstanding any other provision of law, no person shall be subject to penalty for failing to comply with a collection of information subject to reference (g), if:

C3.7.7.1. The collection of information does not display a currently valid OMB control number;

C3.7.7.2. The Agency fails to inform the potential respondent that they are not required to respond unless the collection displays a currently valid OMB control number; or

C3.7.7.3. An Agency has imposed a collection of information as a means for providing or satisfying a condition for the receipt of a benefit or the avoidance of a penalty and a currently valid OMB control number is not displayed. The Agency shall not treat a person's failure to comply, in and of itself, as grounds for withholding the benefit or imposing the penalty.

C3.7.7.4. All information collection instruments (forms, surveys, etc.) must contain an "Agency Disclosure Notice" (ADN) which should be prominently displayed at the top of a form or at the beginning of a survey. The following is a sample ADN:

The public reporting burden for this collection of information is estimated to average XX [**Insert the time in minutes/hours, as appropriate**] minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to Department of Defense, Washington Headquarters Services, Directorate for Information Operations and Reports (XXXX-XXXX) [**Insert OMB Control Number**], 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302. Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to any penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number.

PLEASE DO NOT RETURN YOUR RESPONSE TO THE ABOVE ADDRESS.

C3.8. EXEMPT COLLECTIONS

C3.8.1. Issuance Statement for Collections of Information That Do Not Require OMB Review and Approval. When an information collection from members of the public does not require OMB approval, the reason should be given in the implementing Directive, Instruction, or Regulation and this Manual shall be cited as the authority. For example:

Z. Information Requirements

The reports in this directive do not require OMB approval in accordance with C3.8.2.2 of DoD 8910.1-M (reference ()).

C3.8.2. Collections of Information That Do Not Require OMB Approval include:

C3.8.2.1. Information Collections Addressed to Nine or Fewer Persons. Collections addressed to nine or fewer persons within a 12-month period, do not require OMB approval.

C3.8.2.2. Exempt Collections of Information. Exempt collections of information are those conducted:

C3.8.2.2.1. During the conduct of Federal criminal investigation or prosecution, or during the disposition of a particular criminal matter;

C3.8.2.2.2. During the conduct of a civil action to which the United States is a party, or during the conduct of an administrative action, investigation, or audit involving an Agency against specific individuals or entities;

C3.8.2.2.3. By compulsory process pursuant to Sections 41 and 1311 of Title 15 U.S.C. (references (s) and (t));

C3.8.2.2.4. During the conduct of intelligence activities, or during the conduct of cryptologic activities that are communications securities activities; or

C3.8.2.3. Items Generally Not Considered To Be Information. Non-information items include:

C3.8.2.3.1. Affidavits, oaths, affirmations, certifications, 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. (By contrast, a certification would likely involve the collecting of "information" if it were conducted as a substitute for a collection of information, to collect evidence of, or to monitor compliance with regulatory standards. Such a certification would generally entail burden in addition to that necessary to identify the respondent, date, etc.);

C3.8.2.3.2. Samples of products or of any other physical objects. (This category includes requests for information that is already available in a form suitable for distribution and is provided in that form to all requesters. However, the request is a collection of information if the information has to be compiled.);

C3.8.2.3.3. 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;

C3.8.2.3.4. 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 respondent, other than that necessary for self identification, as a condition to the Agency's full consideration of the comment;

C3.8.2.3.5. 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 the interpretation of biological analyses of body fluids, tissues, or other specimens; or the identification or classification of such specimens. This includes medical records established as a result of this type of action;

C3.8.2.3.6. A request for facts or opinions addressed to a single person;

C3.8.2.3.7. Examinations 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;

C3.8.2.3.8. Facts or opinions obtained or solicited at, or in connection with, public hearings or meetings;

C3.8.2.3.9. Facts or opinions obtained or solicited through

non-standardized follow-up questions designed to clarify responses to approved collections of information;

C3.8.2.3.10. Like items so designated by OMB. (OMB has the authority to determine that a particular activity does not constitute a collection of information, provided that the activity is comparable to the nine items described above, and that the classification of the activity as not constituting a collection of information would not defeat the purpose and intent of the “Paperwork Reduction Act of 1995” (reference (m)).);

C3.8.2.3.11. Collections of information from Federal employees within the scope of their employment, unless the results are to be used for general statistical purposes; or

C3.8.2.3.12. A request for facts or opinions addressed to members of the Armed Forces serving on active duty, members of their families, and retired members of the Armed Forces, but not their families, when being surveyed within the context of reference (r).

C3.9. INFORMATION COLLECTION BUDGET (ICB)

C3.9.1. Submission of Annual ICB. Each Agency’s CIO shall develop and submit to OMB in such form, at such time, and in accordance with such procedures as OMB may prescribe, an annual comprehensive budget for all collections of information to be conducted from the public in the succeeding 12 months.

C3.9.2. ICB Historical Perspective. The ICB is, historically, a projection by each Federal Agency of the total number of burden hours it intends to require from the public to provide it with information. It is an estimate of the time, direct and indirect, necessary for individuals, businesses, and organizations to collect, record, submit, and maintain records of information provided to the Federal Government. Federal Agencies prepare ICB requests annually in response to specific direction from OMB. These requirements normally include an estimate of burden hours for information collection activities which an Agency expects to conduct in the immediately succeeding fiscal year, as well as a summarization of the preceding and succeeding fiscal years’ efforts and plans to reduce the overall burden imposition on the public. The sum of all agencies’ ICBs is the ICB for the Federal Government.

C3.9.3. Statutorily Directed Reductions. Chapter 35 of Title 44 U.S.C. (reference (g)) mandates incremental reductions in the overall DoD burden inventory

by 10% in each of fiscal years 1996 and 1997, and by 5% in each of fiscal years 1998, 1999, 2000, and 2001. This reduction will be accomplished in a manner to be determined by OMB.

C3.10. PROCEDURES TO LICENSE DOD PUBLIC INFORMATION REQUIREMENTS

C3.10.1. Overview.

C3.10.1.1. The request for OMB approval of an information collection from the public initially involves the preparation of an OMB Form 83-I, "Paperwork Reduction Act Submission" package. Generally, the clearance package is prepared by the program office that requires or will utilize the information, in conjunction with the Component IMCO. During the preparation of the clearance package, the Program Office must publish a 60-day notice in the Federal Register to alert the public that a collection of information is being considered, and to invite public comment on the proposal. The package is submitted to the DoD Component IMCO who is available to assist in preparing the package. The package is then sent to WHS/DIOR for review and quality control and finally to OMB for review and approval or disapproval. At the same time that the package is sent to OMB for review, the proposed information collection is announced in the Federal Register for public comment. This public comment period lasts for 30 days. OMB then has 30 additional days to review these comments and to approve or disapprove the package. Figure C3.F1 shows the overall flow of the approval process and the organizations responsible for the various steps in the process.

C3.10.1.2. A clearance package has two major parts plus supporting documentation:

C3.10.1.2.1. OMB Form 83-I. This form is the official application that an Agency submits to OMB for review of a proposed information collection activity. (See figure C3.F2.) It contains essential data which OMB needs to evaluate the request;

C3.10.1.2.2. Supporting Statement. This is the Agency's statutory, regulatory, and programmatic justification for the information collection activity (See figure C3.F4.); and

C3.10.1.2.3. Supporting Documentation. This includes copies of the 60-day Federal Register Notice (See figure C3.F6.), the instrument of collection (form,

survey, etc.), relevant portions of prescribing or mandating directives or statutes, etc.

C3.10.1.3. The information clearance package for any collection of information contained in a proposed rule is to be submitted to OMB on or before the day on which the Notice of Proposed Rule-making (NPRM) is published in the Federal Register. A copy of the proposed regulation and preamble is to be included in the package. The notice in the preamble to the NPRM is to include both the information required in the 60-day and 30-day Federal Register notices. The notice is to direct public comments to the OMB reviewer.

C3.10.2. Preparation of the OMB 83-I Package. Block by block instructions for completion of the OMB Form 83-I follow. Pay particular attention, however, to the requirements as defined in OMB Form 83-I INST, “Instructions for Requesting OMB Review Under the Paperwork Reduction Act” (See figure C3.F3.). In some areas, they are more comprehensive than these instructions.

C3.10.2.1. Front Page of OMB Form 83-I

Item 1. Show “Department of Defense” first.

Item 2. For revision, extension, or reinstatement of a previously approved public information collection use the assigned OMB control number.

For a new collection of information the following Agency codes apply to the Department of Defense:

- 0701 - Air Force
- 0702 - Army
- 0703 - Navy
- 0704 - OSD and Other DoD Components
- 0710 - Army Corps of Engineers
- 0720 - Health Care Matters
- 0730 - Defense Finance and Accounting Service

Item 3.

Mark one of the following categories that describes the type of information collection request being submitted:

New Collection. Mark “New Collection” when the collection has not been previously sponsored by the Agency.

Revision. Mark “Revision” when the collection is currently approved, but the proposal makes a substantive change to the collection instrument, frequency of collection, the use to which the information collected will be put, or any other area that significantly affects the approved burden.

Extension. Mark “Extension” when the collection is currently approved, and the Agency wishes only to renew the approval past the current expiration date, but for a period not to exceed three years. An extension may make no substantive change to the collection or its burden. The “extension” referred to on the OMB Form 83-I is not to be confused with an “emergency extension” referred to at paragraph C3.11.3.

Reinstatement Without Change. Mark “Reinstatement without change” when the collection was previously approved by OMB but that approval has expired, and there is no change to the collection.

Reinstatement With Change. Mark “Reinstatement with change” when the collection was previously approved by OMB but that approval has expired, and there is change to the collection.

Existing Collection. Mark “Existing collection in use without OMB control number” when the collection is in use but has not been cleared by OMB.

Item 4.

Regular Submission. Mark “Regular submission” when the proposal is being submitted in accordance with Section 10, “Clearance of Collections of Information, Other Than Those Contained in Proposed Rules or Current Rules;” Section 11, “Clearance of Collections of Information Contained in Proposed Rules;” or Section 12, “Clearance of Collections of Information in Current Rules” of 5 CFR 1320 (reference (c)). These submissions have a standard 60 day review schedule.

Emergency. Mark “Emergency” when the proposal is being submitted in accordance with Section 13, “Emergency Processing” of 5 CFR 1320 (reference (c)). As stated therein, an Agency head or the CIO may request OMB to authorize emergency processing of information collection proposals.

In the Department of Defense, the CIO is the ASD(C3I), appointed in compliance with reference (h). Any such request must be accompanied by a written determination that the collection of information is essential to the mission of the

Agency, and that the Agency cannot reasonably comply with normal clearance procedures because:

- (1) Public harm is likely to result if normal clearance procedures are followed;
- (2) An unanticipated event has occurred; or
- (3) The use of normal clearance procedures is likely to prevent or disrupt the collection of information, or cause a statutory or court-ordered deadline to be missed.

NOTE: Insufficient planning or administrative oversight does not warrant the use of emergency submission.

Additionally, the Agency must state the time period within which OMB should approve or disapprove the proposal, as well as submit information indicating that the Agency has taken all possible steps to consult with interested Agencies and members of the public to minimize the associated burden.

Unless waived or modified by OMB, the Agency must publish in the Federal Register the notice required by Section 5, "Federal Register Notice of OMB Review," of 5 CFR 1320 (reference (c)), which includes a statement that the Agency is requesting emergency processing, and the time period within which OMB should approve or disapprove the proposal. If OMB approves the collection of information, a control number, valid for 180 days, will be assigned.

Delegated. "Delegated" is never marked. DoD does not have delegated authority granted by OMB to review and act on proposed collections of information.

Item 5.

Mark "Yes" if the collection will have a significant impact on small businesses or other small entities. If this item is marked "Yes," it must be reflected in Item 5 of the Supporting Statement.

Item 6.

Do not request more time than is required to complete the collections phase of your proposal. A maximum approval period of three years is mandated by

Chapter 35 of Title 44 U.S.C. (reference (g)).

Item 7.

State the title briefly and concisely.

Item 8.

List all forms, both Department of Defense and Component, that will serve as instruments of collection and that will display the OMB control number and expiration date.

Item 9.

The *Federal Register Thesaurus of Indexing Terms* is found in the Federal Register (FR), Volume 55, pages 38445-38470 (reference (u)). An example of a properly prepared keyword list is: “Foreign Service, Immigration, Travel”, etc. The first two keywords must be from this thesaurus. You may add as many more keywords as you feel necessary for clarification, but do not exceed two lines of text.

Item 10.

Limit the abstract to no more than 5 lines of text. The abstract should identify any statutory requirements that require the collection and address the following three questions:

- WHO (in the public) will supply the information?
- WHAT circumstances require the submissions?
- HOW will the Agency use the information?

Item 11.

Mark all categories that apply. Remember to denote the primary public with a “P” and others that apply with an “X.”

Item 12.

“Mandatory” applies only when the respondent must reply, or face civil or criminal prosecution.

Item 13.

If a respondent is also a recordkeeper, report this as one respondent. Total annual hours include both the reporting and recordkeeping burden. Indicate whether changes are “+” or “-” where appropriate. Enter whether the difference is an adjustment or a program change. These terms are defined in OMB Form 83-I INST (See figure C3.F3.).

Item 14.

This item should address operations and maintenance costs, as well as capital or start-up costs. Include only capital or start-up costs incurred subsequent to October 1, 1995. Do not include in this item the labor costs associated with the burden hours identified in Item 13. Indicate whether changes are “+” or “-” where appropriate. Enter whether the difference is an adjustment or a program change.

Item 15.

Denote the primary purpose with a “P” and others that apply with “X.”

Item 16.

Mark “X” for all that apply.

a. Mark “Recordkeeping” if a requirement is imposed on persons to retain specified records, provide notification of their existence, or report to third parties, the Federal Government, or the public regarding such records.

b. Mark “Third Party Disclosure” if a requirement is imposed on persons to disclose information directly to the intended beneficiary (e.g., an employee of the employer) or the enforcer (e.g., the State of local government), thereby eliminating the need for the Federal Agency to collect and process the information itself.

c. Mark “Reporting” for information collections that involve reporting and check the frequency of reporting that is requested or required of a respondent. If the reporting is on “an event” basis, mark “On Occasion.”

Item 17.

Indicate whether the collection of information employs statistical methods. If “Yes” is marked, complete Section B of the Supporting Statement.

Item 18.

Enter the name and telephone number of the person who can best answer questions about the proposal. Keep in mind that this is the person OMB will contact with questions if they decide to call the project officer directly.

C3.10.2.2. Back Page of OMB Form 83-I. NOTE: Enter OMB Control Number or Agency Code, and Title, at the top of the back page of the form.

Item 19.a.

The requirement for certification contained in Section 9, “Agency Certifications for Proposed Collections of Information” of 5 CFR 1320 (reference (c)) is thoroughly delineated at the end of the instructions for OMB Form 83-I (See figure C3.F3.). This item should not be signed by the Agency Contact indicated in Item 18. It should be signed by a program official at an authoritative level to ensure the signature represents the certification of the submitting component. Signatures “for” should be avoided. If there are any provisions of this certification with which the sponsoring component cannot comply, they should be identified here, and explained in Item 18 of the Supporting Statement.

Item 19.b.

The certification contained in this item will be provided by the Director, DIOR.

C3.10.2.3. Estimation of Burden Hours. 5 CFR 1320 (reference (c)) defines burden as “the total time, effort, or financial resources expended by persons to generate, maintain, retain, or disclose or provide information to or for a Federal Agency.”

C3.10.2.3.1. Burden hours are a key element in the preparation of the OMB Form 83-I. When developing estimates for burden hours, address the time to respond which includes:

C3.10.2.3.1.1. The work hours required to:

C3.10.2.3.1.1.1. Read or hear the instructions;

C3.10.2.3.1.1.2. Develop, modify, construct, monitor, or assemble any materials or obtain equipment necessary to collect and report the data; or

C3.10.2.3.1.1.3. Keep records; process, format, record, and report the information; and

C3.10.2.3.1.1.4. Manage the collection, recording, and reporting of the information.

C3.10.2.3.1.2. Other factors that need to be considered in estimating burden hours such as the number of reports, applications, records and/or forms produced each year; as well as the number of respondents.

C3.10.2.3.2. Steps necessary to estimate burden hours are as follows:

C3.10.2.3.2.1. Step 1 - Identify the information collection and reporting requirements. Include data elements to be reported and the frequency each element will be collected;

C3.10.2.3.2.2. Step 2 - Determine the source of the information (e.g., personal opinions, monitoring devices, etc.);

C3.10.2.3.2.3. Step 3 - Determine if the information is currently being collected, recorded, stored and, if so, in what form;

C3.10.2.3.2.4. Step 4 - Identify previous experience with reporting of same or similar information;

C3.10.2.3.2.5. Step 5 - Conduct pretests of the information collection and reporting process;

C3.10.2.3.2.6. Step 6 - Conduct informal consultations with a few respondents;

C3.10.2.3.2.7. Step 7 - For individual or household surveys, conduct trials with office staff;

C3.10.2.3.2.8. Step 8 - Compute burden hour estimates and reference the basis for the computations;

C3.10.2.3.2.9. Step 9 - Determine if the total burden is within reasonable limits;

C3.10.2.3.2.10. Step 10 - Finalize burden hour estimates and use them to prepare information collection requests; and

C3.10.2.3.2.11. Step 11 - Consult with the IMCO for additional information, if necessary.

C3.10.2.4. Prepare Supporting Statement. A supporting statement must be submitted with each OMB 83-I package. The "Supporting Statement Outline," which should be adhered to when completing an OMB 83-I package, is shown as figure C3.F4. Each topic being addressed should be identified with the title of the topic in the outline; e.g., 1. Need for the Information Collection; 2. Use of Information, etc. This aids the OMB desk officer immeasurably in his or her review and approval determination. If a topic does not relate to the information collection request, enter the title of the topic, state "this section does not apply," and briefly explain why. Do not simply enter "Not applicable." Figure C3.F5. provides an example of a properly completed supporting statement.

C3.10.2.5. Federal Register Notices. Chapter 35 of Title 44, U.S.C. (reference (g)) requires the publication of two notices in the Federal Register when establishing a public information collection.

C3.10.2.5.1. Federal Register Notice 1. (See figure C3.F6.) The first notice is published by the originating office at least 60 days in advance of submission of the clearance package to OMB for approval. If the information collection is contained in a proposed rule, the package shall be forwarded to OMB for review and comment no later than the day the NPRM is published in the Federal Register. This notice, alerts the public that an information collection is being considered, and invites comments regarding certain aspects of the proposal.

C3.10.2.5.2. Federal Register Notice 2. (See figure C3.F7.) The second notice, offering a 30-day comment period is published by WHS/DIOR, at the time the clearance package is submitted to OMB. It solicits comments on the final proposal.

C3.10.3. OMB 83-I Package Process. When the OMB 83-I package has been developed, the entire documentation goes through the following steps:

C3.10.3.1. Clear Through Component IMCO. Submit the OMB 83-I package (original package and three identical copies) through the IMCO who shall conduct a thorough and conscientious review, ensuring that the entire proposal is complete and correct. Any errors that are correctable at the IMCO level should be accomplished before forwarding the OMB 83-I package to WHS/DIOR.

The OMB Form 83-I and Supporting Statement may be transmitted electronically to WHS/DIOR so that review may begin more expeditiously. Hard copy submission with original signatures and supporting documentation must follow before the proposal can be submitted to OMB.

Additionally, the IMCO shall ensure compliance with the following programs:

C3.10.3.1.1. Privacy Act (reference (o)) - OSD Component offices coordinate with or forward the OMB 83-I package to WHS, Directorate for Correspondence and Directives, Directives and Records Division in accordance with DoD 5400.11-R (reference (d)) and DoD Components coordinate with their internal privacy office;

C3.10.3.1.2. Postal - If this information collection is used as a mailer, follow the procedures in DoD 4525.8-M (reference (v));

C3.10.3.1.3. Data Administration - If the data being collected are used in support of DoD operations and decision-making or in an AIS that requires horizontal and/or vertical sharing of data, follow the procedures in DoD 8320.1-M (reference (f));

C3.10.3.1.4. Reports Management Program - DoD Internal Information Requirements. If this information is also collected from the DoD Components, follow the procedures in Chapter C4. of this Manual;

C3.10.3.1.5. Reports Management Program - Interagency Reporting Requirements. If this information is also collected from other Federal Agencies, follow the procedures in Chapter C5. of this Manual;

C3.10.3.1.6. Forms Management Program. If the instrument of collection should be controlled as a form, follow the procedures in DoD 7750.7-M (reference (e)); and

C3.10.3.1.7. Other. Items to which you should be particularly attentive

are:

C3.10.3.1.7.1. Completeness (Original and three identical packages).

- OMB Form 83-I
- Supporting Statement
- Instruments of collection; i.e., form, survey, etc.
- Instructions or guidelines
- Relevant portions of applicable laws and regulations
- Copy of 60-day Federal Register notice
- Summary of results of 60-day Federal Register Notice

C3.10.3.1.7.2. OMB Form 83-I entries.

<u>Item</u>	<u>Checked For</u>
1	Must show "Department of Defense" first
9	Must have minimum of two keywords from the <u>Federal Register Thesaurus of Indexing Terms</u> (reference (u))
13.d	Must equal OMB's most current inventory listing
14	Must be clearly and fully documented in the Supporting Statement

C3.10.3.1.7.3. Supporting Statement. Check the justification for the information need, use, and existence of duplicative information collections. Ensure that the burden hour calculations are fully explained and supported;

C3.10.3.1.7.4. DoD Forms Program. Review the proposed information requirement to determine if the instrument of collection should be controlled as a form in accordance with DoD 7750.7-M (reference (e)). Ensure that forms have provisions for displaying the OMB control number and expiration date in the upper right corner, and the Agency Disclosure Notice, as required by 5 CFR 1320 (reference (c));

C3.10.3.1.7.5. DoD Data Administration Program. DoD 8320.1-M (reference (f)) provides procedures for implementing the DoD Data Administration Program. It also contains procedures for identifying, standardizing, collecting, distributing, using, and disposing of DoD data; and

C3.10.3.1.7.6. Other Factors. Check survey documents for consistency with the information requirement and request assistance from survey experts on the technical aspects of the survey. Check for overall compliance with

DoD Instruction 1100.13 (reference (k)), if applicable.

C3.10.3.2. Submission to WHS/DIOR for Review. The DoD Clearance Officer reviews all DoD public information collection packages before they are submitted to OMB. They are checked for, among other things, completeness of the OMB 83-I package, practical utility of the information collected, duplicative reporting requirements, and clarity of the explanation of the burden estimates. If there is a problem with material submitted, the DoD Clearance Officer will contact the IMCO for the office submitting the package and try to resolve the problem. If the problem cannot be resolved in this manner, the package will be returned with a written explanation.

C3.10.3.3. Submission to OMB

C3.10.3.3.1. OMB Criteria. Depending on the type of information collection activity proposed, OMB may review it with varying degrees of depth. Typical issues OMB may raise are:

C3.10.3.3.1.1. How often is the reporting requirement form used, and is that the minimum frequency required?

C3.10.3.3.1.2. Is the response voluntary?

C3.10.3.3.1.3. How old is the report? Is it still valid?

C3.10.3.3.1.4. Will this information collection trigger the need for additional data?

C3.10.3.3.1.5. Is the information collection the result of a regulatory or administrative requirement?

C3.10.3.3.1.6. How many burden hours are required to provide the information? Is the burden estimate realistic? Is the amount excessive?

C3.10.3.3.1.7. What is the quality of the data collection design?

C3.10.3.3.1.8. Can the information be found elsewhere?

C3.10.3.3.1.9. Is the information really needed, or is it outmoded?

C3.10.3.3.1.10. Is every question or data element really necessary?

C3.10.3.3.1.11. Are the privacy and confidentiality of the respondents protected?

C3.10.3.3.1.12. Is the study statistically valid and designed to be efficiently administered?

C3.10.3.3.2. Public Access. To enable the public to participate in and provide comments during the clearance process, OMB will make its files available for public inspection during normal business hours. Requirements to provide materials to the public may be modified or waived by OMB to the extent that such public participation in the approval process would:

C3.10.3.3.2.1. Defeat the purpose of the collection of information;

C3.10.3.3.2.2. Jeopardize the confidentiality of proprietary, trade secret, or other confidential information;

C3.10.3.3.2.3. Violate State or Federal law; or

C3.10.3.3.2.4. Substantially interfere with the Department of Defense's ability to perform its statutory obligations. Accordingly, make sure that any material that cannot be disclosed to the public be excluded from the OMB 83-I package and advise WHS/DIOR of this when the package is forwarded.

C3.10.3.4. OMB Approval/Disapproval. The 60-day approval period begins when OMB receives the OMB 83-I package or when the 30-day Federal Register Notice is published, whichever is later. OMB shall either:

C3.10.3.4.1. Approve the OMB 83-I package;

C3.10.3.4.2. Approve it on a conditional basis;

C3.10.3.4.3. Return it for revision;

C3.10.3.4.4. Disapprove it; or

C3.10.3.4.5. Take no action.

Note: If OMB does not act within 60 days, the Agency may request and OMB shall assign a control number, valid for a period not to exceed one year. If the information

collection request is approved, OMB assigns an OMB control number, normally valid for a period not to exceed three years, and notifies WHS/DIOR.

C3.10.3.5. Approval Notification. WHS/DIOR receives written notification from OMB, and forwards this notification to the Component IMCO. The OSD Component IMCO distributes the OMB Notification to the action office sponsoring the information collection.

C3.10.3.6. Appeal Provisions. If OMB disapproves an information collection and the DoD or OSD Component wants to appeal the decision, the respective IMCO and WHS/DIOR should be consulted to determine the best course of action for the Department of Defense.

C3.11. PROCEDURES TO REVISE OR EXTEND DOD PUBLIC INFORMATION REQUIREMENTS

C3.11.1. Major Revisions or Extensions. Major revisions or extensions of over three months are accomplished by submission of an OMB 83-I package.

C3.11.2. Minor Revisions. Minor revisions can generally be accomplished through submission of an OMB Form 83-C, "Paperwork Reduction Act Change Worksheet" (See figure C3.F8.). This form must be coordinated with the IMCO and submitted to WHS/DIOR for review and forwarding to OMB. Minor revisions do not substantially modify a collection of information. A minor revision would include reducing the burden hours, the number of respondents, or the annual reporting or recordkeeping costs.

C3.11.3. Extensions. Emergency extensions for a maximum period of 90 days may be requested by submission of OMB Form 83-E, "Paperwork Reduction Act Emergency Extension" (See figure C3.F9.). Extensions will be considered by OMB only if they meet the criteria of an emergency approval as defined in Chapter 35 of Title 44 U.S.C. (reference (g)). The use of extensions is strongly discouraged by OMB. Insufficient planning or administrative oversight do not warrant using an extension.

C3.12. PROCEDURES TO CANCEL DOD PUBLIC INFORMATION REQUIREMENTS

DoD and OSD Components may cancel an information collection approved by OMB

by submission of an OMB Form 83-C through the appropriate IMCO to WHS/DIOR requesting that an information collection be canceled. WHS/DIOR will forward the request to OMB, and upon notification of OMB cancellation, update the DoD information collection inventory, and inform the Component IMCO accordingly. Cancellation of information collections within six months of normal expiration of OMB approval may be effected through attrition.

C3.13. REQUEST FOR EMERGENCY CLEARANCE

C3.13.1. OMB Criteria. Within the Department of Defense, the CIO may request emergency processing of a collection of information under the following circumstances:

C3.13.1.1. When the collection of information is needed prior to the expiration of time periods established in Chapter 35 of Title 44 U.S.C. (reference (g)), and is essential to the mission of the Agency; and

C3.13.1.2. When the Agency cannot reasonably comply with the normal clearance procedures under Chapter 35 of Title 44 U.S.C. (reference (g)) because:

C3.13.1.2.1. Public harm is reasonably likely to result if normal clearance procedures are followed;

C3.13.1.2.2. An unanticipated event has occurred; or

C3.13.1.2.3. The use of normal clearance procedures is reasonably likely to prevent or disrupt the collection of information or is reasonably likely to cause a statutory or court ordered deadline to be missed.

C3.13.1.3. Public harm would be prevented if, for example, strategies to combat a public health epidemic depend on information in a survey that needs to be fielded immediately. An example of an unanticipated event would be a natural disaster that has led to the need to provide benefits quickly to the victims. The use of emergency clearance procedures is warranted if a new statute is passed that requires implementation of an information collection within clearly shorter time frames called for in Chapter 35 of Title 44 U.S.C. (reference (g)).

C3.13.2. Limited Approval. An OMB approval and the control number assigned to collections of information approved under the emergency processing procedures are valid for not more than 180 days from the date the Agency requested approval.

During the 180 day period, a Component has adequate time to prepare a follow-on OMB 83-I collection package using the procedures for normal processing.

C3.13.3. OMB 83-I Package. There are distinct, although minor differences in processing the OMB 83-I collection package when requesting emergency processing, as discussed in paragraph C3.10.2., Item 4, above.

C3.13.4. Advance Planning. Components must plan in advance to avoid disrupting ongoing program responsibilities. Lack of planning and administrative oversight will not be used to circumvent the time provisions of Chapter 35 of Title 44 U.S.C. (reference (g)).

C3.14. GENERIC CLEARANCES

C3.14.1. Streamlined Process. OMB has devised the “generic clearance” to streamline the clearance process in “Resource Manual for Customer Surveys” (reference (q)). A generic clearance is a master plan for conducting one or more data collections termed “tasks.” Review occurs in two steps: a full review of the overall plan followed by quick review of the actual details of each task.

C3.14.2. Scope. The generic clearance involves advance approval of a well-defined class of low-burden data collection. The tasks are not fully defined until actually used. An example of this type of clearance would encompass a series of customer satisfaction surveys. A generic clearance typically includes a set of agreements negotiated between the sponsoring agency and OMB, establishing data collection and usage, a burden cap, a periodic reporting requirement to update the OMB docket, and a commitment by OMB to review any specific application quickly.

C3.14.3. Requirements. The overall plan must be subjected to the full clearance process: plan and 60-day Federal Register notice must provide the public with a basis for comment similar to a collection approved under normal clearance procedures. The plan must be managed so that there are no controversies that bypass the public comment process. Controversies arising at the task stage are not only inconsistent with the concept of the generic clearance, they are inconsistent with Chapter 35 of Title 44 U.S.C. (reference (g)).

C3.15. INVENTORY OF DOD PUBLIC INFORMATION REQUIREMENTS

C3.15.1. Overview.

C3.15.1.1. WHS/DIOR maintains an inventory of OMB-approved reports, which includes data such as the OMB control number, report title, expiration date, requesting agency, authority, form numbers, current burden hours, information collection budget burden hours, and other data. This data base is used to perform workload assessments, to support IRM reviews, and for general reports management activities. It is this inventory to which the statutorily mandated reductions discussed in paragraph C3.9.3., of this Chapter, will be applied.

C3.15.1.2. OMB maintains an inventory of approved information collections that it uses to produce monthly reports such as the “Summary of Active Information Collections Approved Under the Paperwork Reduction Act.” DIOR reconciles this report with the WHS/DIOR inventory on a monthly basis.

C3.15.2. Relationship to the ICB. The ICB is the fiscal year-end goal of minimizing burden hours imposed on the public by the Department of Defense, whereas the inventory of OMB-approved information collections reflects the actual burden hours currently imposed on the public by the Department. Keeping the inventory of information collections up to date is vital to the effective management of the program for the Department of Defense.

C3.15.3. Making Changes to the Inventory. Changes to the OMB inventory are initiated by submitting an OMB 83-I package, an OMB Form 83-C, “Paperwork Reduction Act Change Worksheet,” or an OMB Form 83-E, “Paperwork Reduction Act Emergency Extension” through the IMCO to WHS/DIOR. These forms are available on the Internet under DefenseLINK, Publications. If there is a question as to which form is appropriate for submission in a particular case, contact WHS/DIOR for guidance.

C3.15.4. Output Reports

C3.15.4.1. Monthly Report to IMCO. Each month, WHS/DIOR sends a report to appropriate IMCOs that provides the latest status of reports control at the DoD level. This report includes those collections approved by OMB during the report month; collections that expired and were canceled during the report month; and collections that will expire during the next six report months.

C3.15.4.2. OMB 55-day Report. Each month, and more frequently if requested, WHS/DIOR provides appropriate OMB desk officers with a listing of pending proposals that have been under review at OMB for at least 55 days. This

serves to alert OMB that the mandatory 60-day approval date as defined by the Act is imminent.

C3.15.4.3. Special Reports. WHS/DIOR from time to time shall forward special reports to advise IMCOs of the status of their OMB information collection burden hours versus their OMB hours. These reports are helpful particularly toward the end of the fiscal year.

Figure C3.F1. Procedures to License DoD Public Information Requirements

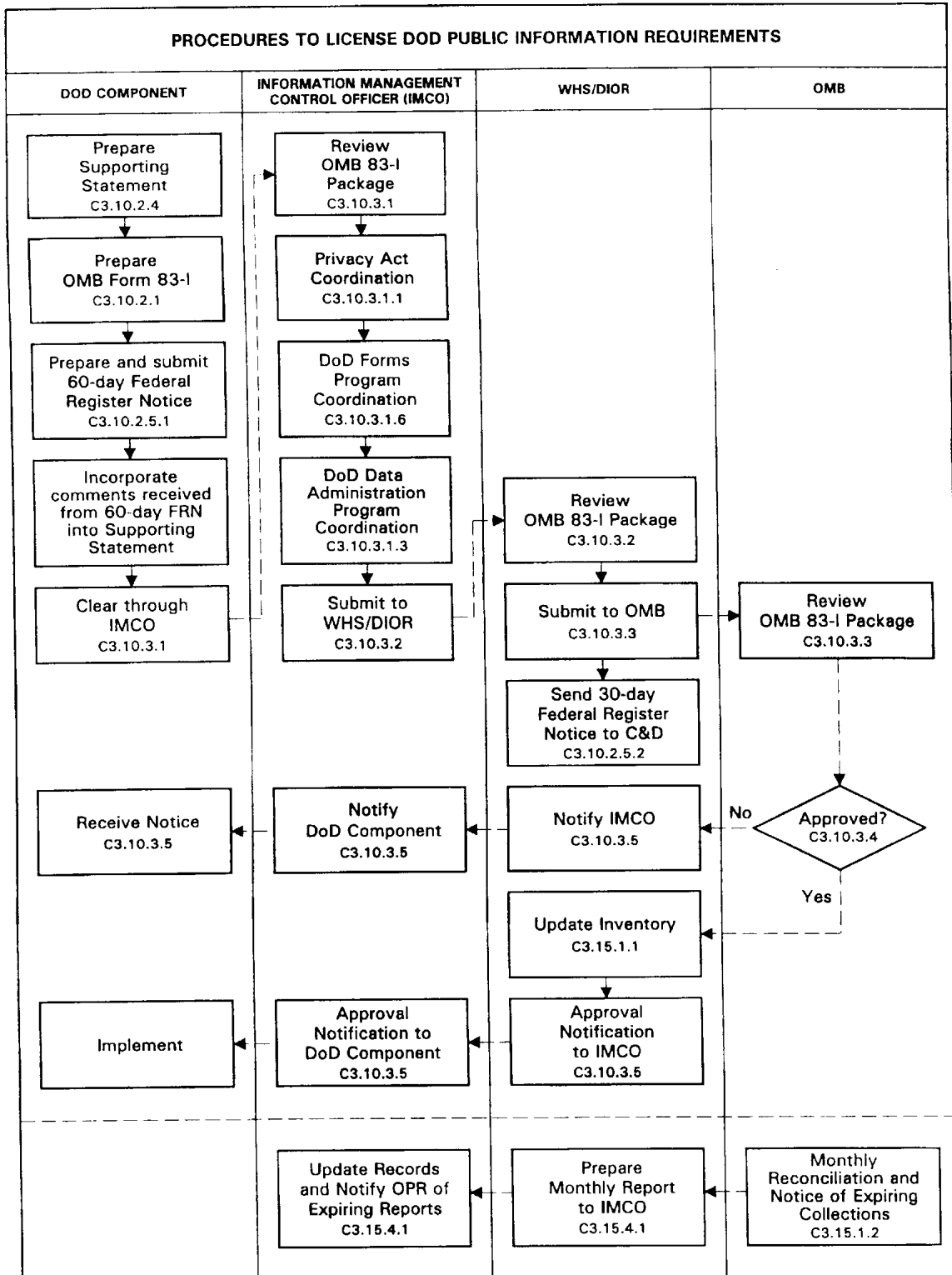


Figure C3.F2. OMB Form 83-I, "Paperwork Reduction Act Submission" Sample, continued

OMB CONTROL NUMBER 0701 -	TITLE Air Force ROTC Scholarship Nomination
19. CERTIFICATION FOR PAPERWORK REDUCTION ACT SUBMISSIONS	
a. PROGRAM OFFICIAL CERTIFICATION (Internal DoD Use Only)	
(1) Signature [Signature of Program Official; See Paragraph C3.10.2.2]	(2) Date April 1, 1997
<p>On behalf of this Federal agency, I certify that the collection of information encompassed by this request complies with 5 CFR 1320.9.</p> <p>NOTE: The text of 5 CFR 1320.9, and the related provisions of 5 CFR 1320.8(b)(3), appear at the end of the instructions. <i>The certification is to be made with reference to those regulatory provisions as set forth in the instructions.</i></p> <p>The following is a summary of the topics, regarding the proposed collection of information, that the certification covers:</p> <ul style="list-style-type: none"> (a) It is necessary for the proper performance of agency functions; (b) It avoids unnecessary duplication; (c) It reduces burden on small entities; (d) It uses plain, coherent, and unambiguous language that is understandable to respondents; (e) Its implementation will be consistent and compatible with current reporting and recordkeeping practices; (f) It indicates the retention periods for recordkeeping requirements; (g) It informs respondents of the information called for under 5 CFR 1320.8(b)(3) about: <ul style="list-style-type: none"> (i) Why the information is being collected; (ii) Use of information; (iii) Burden estimate; (iv) Nature of response (voluntary, required for a benefit, or mandatory); (v) Nature and extent of confidentiality; and (vi) Need to display currently valid OMB control number; (h) It was developed by an office that has planned and allocated resources for the efficient and effective management and use of the information to be collected (see note in Item 19 of the instructions); (i) If applicable, it uses effective and efficient statistical survey methodology; and (j) It makes appropriate use of information technology. <p>If you are unable to certify compliance with any of these provisions, identify the item below and explain the reason in Item 18 of the Supporting Statement.</p>	
b. SENIOR OFFICIAL OR DESIGNEE CERTIFICATION	
(1) Signature [Signature of Director, DIOR/WHS]	(2) Date April 14, 1997

OMB FORM 83-I (BACK), 10/85

Figure C3.F3. OMB Form 83-I INST, "Instructions for Requesting OMB Review Under the Paperwork Reduction Act"

INSTRUCTIONS FOR REQUESTING OMB REVIEW UNDER THE PAPERWORK REDUCTION ACT	
<p>Please answer all questions and have the Senior Official or designee sign the form. These instructions should be used in conjunction with 5 CFR 1320, which provides information on coverage, definitions, and other matters of procedure and interpretation under the Paperwork Reduction Act of 1995.</p> <p>1. Agency/Subagency Originating Request Provide the name of the agency or subagency originating the request. For most Cabinet-level agencies, a subagency designation is also necessary. For non-Cabinet agencies, the subagency designation is generally unnecessary.</p> <p>2. OMB Control Number a. If the information collection in this request has previously received or now has an OMB control or comment number, enter the number. b. Mark "None" if the information collection in this request has not previously received an OMB control number. Enter the four digit agency code for your agency.</p> <p>3. Type of Information Collection (X one) a. Mark "New collection" when the collection has not previously been used or sponsored by the agency. b. Mark "Revision" when the collection is currently approved by OMB, and the agency request includes a material change to the collection instrument, instructions, its frequency of collection, or the use to which the information is to be put. c. Mark "Extension" when the collection is currently approved by OMB and the agency wishes only to extend the approval past the current expiration date without making any other material change in the collection instrument, instructions, its frequency of collection, or the use to which the information is to be put. d. Mark "Reinstatement without change" when the collection previously had OMB approval, but the approval has expired or was withdrawn before this submission was made, and there is no change to the collection. e. Mark "Reinstatement with change" when the collection previously had OMB approval, but the approval has expired or was withdrawn before this submission was made, and there is change to the collection. f. Mark "Existing collection in use without OMB control number" when the collection is currently in use but does not have a currently valid OMB control number.</p> <p>4. Type of Review Requested (X one) a. Mark "Regular" when the collection is submitted under 5 CFR 1320.10, 1320.11, or 1320.12 with a standard 60 day review schedule. b. Mark "Emergency" when the agency is submitting the request under 5 CFR 1320.13 for emergency processing and provides the required supporting material. Provide the date by which the agency requests approval. c. Mark "Delegated" when the agency is submitting the collection under the conditions OMB has granted the agency delegated authority.</p> <p>5. Small Entities Indicate whether this information collection will have a significant impact on a substantial number of small entities. A small entity may be (1) a small business which is deemed to be one that is independently owned and operated and that is not dominant in its field of operation; (2) a small organization that is any not-for-profit enterprise that is independently owned and operated and is not dominant in its field; or (3) a small government jurisdiction which is a government of a city, county, town, township, school district, or special district with a population of less than 50,000.</p> <p>6. Requested Expiration Date a. Mark "Three years" if the agency requests a three year approval for the collection. b. Mark "Other" if the agency requests approval for less than three years. Specify the month and year of the requested expiration date.</p>	<p>7. Title Provide the official title of the information collection. If an official title does not exist, provide a description which will distinguish this collection from others.</p> <p>8. Agency Form Number(s) (if applicable) Provide any form number the agency has assigned to this collection of information. Separate each form number with a comma.</p> <p>9. Keywords Select and list at least two keywords (descriptors) from the "Federal Register Thesaurus of Indexing Terms" that describe the subject area(s) of the information collection. Other terms may be used but should be listed after those selected from the thesaurus. Separate keywords with commas. Keywords should not exceed two lines of text.</p> <p>10. Abstract Provide a statement, limited to five lines of text, covering the agency's need for the information, uses to which it will be put, and a brief description of the respondents.</p> <p>11. Affected Public Mark all categories that apply, denoting the primary public with a "P" and all others that apply with "X."</p> <p>12. Obligation to Respond Mark all categories that apply, denoting the primary obligation with a "P" and all others that apply with "X." a. Mark "Voluntary" when the response is entirely discretionary and has no direct effect on any benefit or privilege for the respondent. b. Mark "Required to obtain or retain benefits" when the response is elective, but is required to obtain or retain a benefit. c. Mark "Mandatory" when the respondent must reply or face civil or criminal sanctions.</p> <p>13. Annual Reporting and Recordkeeping Hour Burden a. Enter the number of respondents and/or recordkeepers. If a respondent is also a recordkeeper, report the respondent only once. b. Enter the number of responses provided annually. For recordkeeping as compared to reporting activity, the number of responses equals the number of recordkeepers. (1) Enter the estimated percentage of responses that will be submitted/collected electronically using magnetic media (i.e., diskette), electronic mail, or electronic data interchange. Facsimile is NOT considered an electronic submission. c. Enter the total annual recordkeeping and reporting hour burden. d. Enter the burden hours currently approved by OMB for this collection of information. Enter zero (0) for any new submission or for any collection whose OMB approval has expired. e. Enter the difference by subtracting line d from line c. Record a negative number (d larger than c) within parentheses. f. Explain the difference. The difference in line e must be accounted for in lines f.(1) and f.(2). (1). "Program change" is the result of deliberate Federal government action. All new collections and any subsequent revision of existing collections (e.g. the addition or deletion of questions) are recorded as program changes. (2). "Adjustment" is a change that is not the result of a deliberate Federal government action. Changes resulting from new estimates or actions not controllable by the Federal government are recorded as adjustments.</p> <p>14. Annual Reporting and Recordkeeping Cost Burden (In thousands of dollars) The costs identified in this item must exclude the cost of hour burden identified in item 13. a. Enter total dollar amount of annualized cost for all respondents of any associated capital or start-up costs. b. Enter recurring annual dollar amount of cost for all respondents associated with operating or maintaining systems or purchasing services. c. Enter total (14.a. + 14.b.) annual reporting and recordkeeping cost burden.</p>

Figure C3.F3. OMB Form 83-I INST, "Instructions for Requesting OMB Review Under the Paperwork Reduction Act," continued

INSTRUCTIONS FOR REQUESTING OMB REVIEW UNDER THE PAPERWORK REDUCTION ACT (Continued)	CERTIFICATION REQUIREMENT FOR PAPERWORK REDUCTION ACT SUBMISSIONS
<p>14. (Continued)</p> <p>d. Enter any cost burden currently approved by OMB for this collection of information. Enter zero (0) if this is the first submission after October 1, 1995.</p> <p>e. Enter the difference by subtracting line d from line c. Record a negative number (d larger than c) within parentheses.</p> <p>f. Explain the difference. The difference in line e must be accounted for in lines f.(1) and f.(2).</p> <p>(1) "Program change" is the result of deliberate Federal government action. All new collections and any subsequent revisions or changes resulting in cost changes are recorded as program changes.</p> <p>(2) "Adjustment" is a change that is not the result of a deliberate Federal government action. Changes resulting from new estimations or actions not controllable by the Federal government are recorded as adjustments.</p> <p>15. Purpose of Information Collection</p> <p>Mark all categories that apply, denoting the primary purpose with a "p" and all others that apply with "X."</p> <p>a. Mark "Application for benefits" when the purpose is to participate in, receive, or qualify for a grant, financial assistance, etc., from a Federal agency or program.</p> <p>b. Mark "Program evaluation" when the purpose is a formal assessment, through objective measures and systematic analysis, of the manner and extent to which Federal programs achieve their objectives or produce other significant effects.</p> <p>c. Mark "General purpose statistics" when the data is collected chiefly for use by the public or for general Government use without primary reference to the policy or program operations of the agency collecting the data.</p> <p>d. Mark "Audit" when the purpose is to verify the accuracy of accounts and records.</p> <p>e. Mark "Program planning or management" when the purpose relates to progress reporting, financial reporting and grants management, procurement and quality control, or other administrative information that does not fit into any other category.</p> <p>f. Mark "Research" when the purpose is to further the course of research, rather than for a specific program purpose.</p> <p>g. Mark "Regulatory or compliance" when the purpose is to measure compliance with laws or regulations.</p> <p>16. Frequency of Recordkeeping or Reporting</p> <p>Mark "Recordkeeping" if the collection of information explicitly includes a recordkeeping requirement.</p> <p>Mark "Third party disclosure" if a collection of information includes third-party disclosure requirements as defined by 1320.3(c).</p> <p>Mark "Reporting" for information collections that involve reporting and check the frequency of reporting that is requested or required of a respondent. If the reporting is on "an event" basis, mark "On Occasion".</p> <p>17. Statistical Methods</p> <p>Mark "Yes" if the information collection uses statistical methods such as sampling or imputation. Generally, mark "No" for applications and audits (unless a random auditing scheme is used). Mark "Yes" for statistical collections, most research collections, and program evaluations using scientific methods. For other types of data collections, the use of sampling, imputation, or other statistical estimation techniques should dictate the response for this item. Ensure that supporting documentation is provided in accordance with Section B of the Supporting Statement.</p> <p>18. Agency Contact</p> <p>Provide the name and telephone number of the agency person best able to answer questions regarding the content of this submission.</p> <p>19. Certification for Paperwork Reduction Act Submissions</p> <p>By signing this statement, the Program Official certifies internally to WHS/DIOR that the collection of information encompassed by the request complies with 5 CFR 1320.9. However, the signature of the Senior Official or designee certifies to OMB, for the Department of Defense, that the information encompassed by the request complies with the provisions of 5 CFR 1320.9. Provisions of this certification that the agency cannot comply with should be identified here and fully explained in Item 18 of the attached Supporting Statement. NOTE: The Office that "develops" and "uses" the information to be collected is the office that "conducts or sponsors" the collection of information (see 5 CFR 1320.3(d)).</p>	<p>5 CFR 1320.9 reads "As part of the agency submission to OMB of a proposed collection of information, the agency (through the head of the agency, the Senior Official or their designee), shall certify (and provide a record supporting such certification) that the proposed collection of information -</p> <p>"(a) is necessary for the proper performance of the functions of the agency, including that the information to be collected will have practical utility;</p> <p>"(b) is not unnecessarily duplicative of information otherwise reasonably accessible to the agency;</p> <p>"(c) reduces to the extent practicable and appropriate the burden on persons who shall provide information to or for the agency, including with respect to small entities, as defined in the Regulatory Flexibility Act (5 U.S.C. 601(6)), the use of such techniques as:</p> <p>"(1) establishing differing compliance or reporting requirements or timetables that take into account the resources available to those who are to respond;</p> <p>"(2) the clarification, consolidation, or simplification of compliance and reporting requirements; or collection of information, or any part thereof;</p> <p>"(3) an exemption from coverage of the collection of information, or any part thereof;</p> <p>"(d) is written using plain, coherent, and unambiguous terminology and is understandable to those who are to respond;</p> <p>"(e) is to be implemented in ways consistent and compatible, to the maximum extent practicable, with the existing reporting and recordkeeping practices of those who are to respond;</p> <p>"(f) indicates for each recordkeeping requirement the length of time persons are required to maintain the records specified;</p> <p>"(g) informs potential respondents of the information called for under 1320.8(b)(3); (see below)</p> <p>"(h) has been developed by an office that has planned and allocated resources for the efficient and effective management and use of the information to be collected, including the processing of the information in a manner which shall enhance, where appropriate, the utility of the information to agencies and the public;</p> <p>"(i) uses effective and efficient statistical survey methodology appropriate to the purpose for which the information is to be collected; and</p> <p>"(j) to the maximum extent practicable, uses appropriate information technology to reduce burden and improve data quality, agency efficiency and responsiveness to the public."</p> <p>NOTE: 5 CFR 1320.8(b)(3) requires that each collection of information:</p> <p>"(3) informs and provides reasonable notice to the potential persons to whom the collection of information is addressed of:</p> <p>"(i) the reasons the information is planned to be and/or has been collected;</p> <p>"(ii) the way such information is planned to be and/or has been used to further the proper performance of the functions of the agency;</p> <p>"(iii) an estimate, to the extent practicable, of the average burden of the collection (together with a request that the public direct to the agency any comments concerning the accuracy of this burden estimate and any suggestions for reducing this burden);</p> <p>"(iv) whether responses to the collection of information are voluntary, required to obtain or retain a benefit (citing authority), or mandatory (citing authority);</p> <p>"(v) the nature and extent of confidentiality to be provided, if any (citing authority); and</p> <p>"(vi) the fact that an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number."</p>

Figure C3.F3. OMB Form 83-I INST, "Instructions for Requesting OMB Review Under the Paperwork Reduction Act," continued

SUPPORTING STATEMENT FOR PAPERWORK REDUCTION ACT SUBMISSIONS	
<p>GENERAL INSTRUCTIONS</p> <p>A Supporting Statement, including the text of the notice to the public required by 5 CFR 1320.5(a)(i)(iv) and its actual or estimated date of publication in the Federal Register, must accompany each request for approval of a collection of information. The Supporting Statement must be prepared in the format described below, and must contain the information specified in Section A below. If an item is not applicable, provide a brief explanation. When item 17 of the OMB Form 83-I is marked "Yes," Section B of the Supporting Statement must be completed. OMB reserves the right to require the submission of additional information with respect to any request for approval.</p> <p>SPECIFIC INSTRUCTIONS</p> <p>A. Justification.</p> <ol style="list-style-type: none"> 1. Explain the circumstances that make the collection of information necessary. Identify any legal or administrative requirements that necessitate the collection. Attach a copy of the appropriate section of each statute and regulation mandating or authorizing the collection of information. 2. Indicate how, by whom, and for what purpose the information is to be used. Except for a new collection, indicate the actual use the agency has made of the information received from the current collection. 3. Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological collection techniques or other forms of information technology, e.g. permitting electronic submission of responses, and the basis for the decision for adopting this means of collection. Also describe any consideration of using information technology to reduce burden. 4. Describe efforts to identify duplication. Show specifically why any similar information already available cannot be used or modified for use for the purposes described in item 2. above. 5. If the collection of information impacts small businesses or other small entities (Item 5 of OMB Form 83-I), describe any methods used to minimize burden. 6. Describe the consequence to Federal program or policy activities if the collection is not conducted or is conducted less frequently, as well as any technical or legal obstacles to reducing burden. 7. Explain any special circumstances that require the collection to be conducted in a manner: <ul style="list-style-type: none"> - requiring respondents to report information to the agency more often than quarterly; - requiring respondents to prepare a written response to a collection of information in fewer than 30 days after receipt of it; - requiring respondents to submit more than an original and two copies of any document; - requiring respondents to retain records, other than health, medical, government contract, grant-in-aid, or tax records, for more than three years; - in connection with a statistical survey, that is not designed to produce valid and reliable results that can be generalized to the universe of study; - requiring the use of a statistical data classification that has not been reviewed and approved by OMB; 	<p>7. (Continued)</p> <ul style="list-style-type: none"> - that includes a pledge of confidentiality that is not supported by authority established in statute or regulation, that is not supported by disclosure and data security policies that are consistent with the pledge, or which unnecessarily impedes sharing of data with other agencies for compatible confidential use; or - requiring respondents to submit proprietary trade secrets, or other confidential information unless the agency can demonstrate that it has instituted procedures to protect the information's confidentiality to the extent permitted by law. <p>8. If applicable, provide a copy and identify the date and page number of publication in the Federal Register of the agency's notice, required by 5 CFR 1320.8(d), soliciting comments on the information collection prior to submission to OMB. Summarize public comments received in response to that notice and describe actions taken by the agency in response to these comments. Specifically address comments received on cost and hour burden.</p> <p>Describe efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.</p> <p>Consultation with representatives of those from whom information is to be obtained or those who must compile records should occur at least once every 3 years - even if the collection of information activity is the same as in prior periods. There may be circumstances that mitigate against consultation in a specific situation. These circumstances should be explained.</p> <p>9. Explain any decision to provide any payment or gift to respondents, other than reenumeration of contractors or grantees.</p> <p>10. Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute, regulation, or agency policy.</p> <p>11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private. This justification should include the reasons why the agency considers the questions necessary, the specific uses to be made of the information, the explanation to be given to persons from whom the information is requested, and any steps to be taken to obtain their consent.</p> <p>12. Provide estimates of the hour burden of the collection of information. The statement should:</p> <ul style="list-style-type: none"> - Indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated. Unless directed to do so, agencies should not conduct special surveys to obtain information on which to base hour burden estimates. Consultation with a sample (fewer than 10) of potential respondents is desirable. If the hour burden on respondents is expected to vary widely because of differences in activity, size, or complexity, show the range of estimated hour burden and explain the reasons for the variance. Generally, estimates should not include burden hours for customary and usual business practices. - If the request for approval covers more than one form, provide separate hour burden estimates for each form and aggregate the hour burdens in Item 13 of OMB Form 83-I. - Provide estimates of annualized cost to respondents for the hour burdens for collections of information, identifying and using appropriate wage rate categories. The cost of contracting out or paying outside parties for information collection activities should not be included here. Instead, this cost should be included in Item 13.

Figure C3.F3. OMB Form 83-I INST, "Instructions for Requesting OMB Review Under the Paperwork Reduction Act," continued

SUPPORTING STATEMENT FOR PAPERWORK REDUCTION ACT SUBMISSIONS (Continued)	
<p>A. Justification (Continued)</p> <p>13. Provide an estimate of the total annual cost burden to respondents or recordkeepers resulting from the collection of information. (Do not include the cost of any hour burden shown in Items 12 and 14.)</p> <ul style="list-style-type: none"> - The cost estimate should be split into two components: (a) a total capital and start-up cost component (annualized over its expected useful life) and (b) a total operation and maintenance component. The estimates should take into account costs associated with generating, maintaining, and disclosing or providing the information. Include descriptions of methods used to estimate major cost factors including system and technology acquisition, expected useful life of capital equipment, the discount rate(s), and the time period over which costs will be incurred. Capital and start-up costs include, among other items, preparations for collecting information such as purchasing computers and software; monitoring, sampling, drilling and testing equipment; and record storage facilities. - If cost estimates are expected to vary widely, agencies should present ranges of cost burdens and explain the reasons for the variance. The cost of purchasing or contracting out information collection services should be a part of this cost burden estimate. In developing cost burden estimates, agencies may consult with a sample of respondents (fewer than 10), utilize the 60-day pre-OMB submission public comment process and use existing economic or regulatory impact analysis associated with the rulemaking containing the information collection, as appropriate. - Generally, estimates should not include purchases of equipment or services, or portions thereof, made: (1) prior to October 1, 1995, (2) to achieve regulatory compliance with requirements not associated with the information collection, (3) for reasons other than to provide information or keep records for the government, or (4) as part of customary and usual business or private practices. <p>14. Provide estimates of annualized cost to the Federal Government. Also, provide a description of the method used to estimate cost, which should include quantification of hours, operational expenses (such as equipment, overhead, printing, and support staff), and any other expense that would not have been incurred without this collection of information. Agencies may also aggregate cost estimates from paragraphs 12, 13, and 14 in a single table.</p> <p>15. Explain the reasons for any program changes or adjustments reported in Items 13 or 14 of the OMB Form 83-I.</p> <p>16. For collections of information whose results will be published, outline plans for tabulation and publication. Address any complex analytical techniques that will be used. Provide the time schedule for the entire project, including beginning and ending dates of the collection of information, completion of report, publication dates, and other actions.</p>	<p>17. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons that display would be inappropriate.</p> <p>18. Explain each exception to the certification statement identified in Item 19, "Certification for Paperwork Reduction Act Submissions," of OMB Form 83-I.</p> <p>B. Collections of Information Employing Statistical Methods.</p> <p>The agency should be prepared to justify its decision not to use statistical methods in any case where such methods might reduce burden or improve accuracy of results. When Item 17 on the OMB Form 83-I is marked "Yes," the following documentation should be included in the Supporting Statement to the extent that it applies to the methods proposed:</p> <ol style="list-style-type: none"> 1. Describe (including a numerical estimate) the potential respondent universe and any sampling or other respondent selection method to be used. Data on the number of entities (e.g., establishments, State and local government units, households, or persons) in the universe covered by the collection and in the corresponding sample are to be provided in tabular form for the universe as a whole and for each of the strata in the proposed sample. Indicate expected response rates for the collection as a whole. If the collection had been conducted previously, include the actual response rate achieved during the last collection. 2. Describe the procedures for the collection of information including: <ul style="list-style-type: none"> - Statistical methodology for stratification and sample selection. - Estimation procedure. - Degree of accuracy needed for the purpose described in the justification. - Unusual problems requiring specialized sampling procedures, and - Any use of periodic (less frequent than annual) data collection cycles to reduce burden. 3. Describe methods to maximize response rates and to deal with issues of non-response. The accuracy and reliability of information collected must be shown to be adequate for intended uses. For collections based on sampling, a special justification must be provided for any collection that will not yield "reliable" data that can be generalized to the universe studied. 4. Describe any tests of procedures or methods to be undertaken. Testing is encouraged as an effective means of refining collections of information to minimize burden and improve utility. Tests must be approved if they call for answers to identical questions from 10 or more respondents. A proposed test or set of tests may be submitted for approval separately or in combination with the main collection of information. 5. Provide the name and telephone number of individuals consulted on statistical aspects of the design and the name of the agency unit, contractor(s), grantee(s), or other person(s) who will actually collect and/or analyze the information for the agency.

Figure C3.F4. Supporting Statement Outline

SUPPORTING STATEMENT OUTLINE
(Refer to Figure C3.F3., OMB83-I INST for greater detail)

A. JUSTIFICATION

1. Need for the Information Collection

Describe the information collection activity under review. Explain precisely why it is necessary; i.e., why the Department of Defense needs the information required by the proposed collection. Identify any legal or administrative requirements that mandate the collection, and include the title page and relevant portions thereof in your proposal package. Also include a copy of the relevant portions of any other statutes or regulation referenced in this supporting statement.

2. Use of the Information

Be specific in describing how, by whom, and for what purpose the information is to be used. Unless this is a new collection, describe how the information has been used in the past.

3. Use of Information Technology

Does the information collection involve the use of technological collection techniques; e.g., electronic response submission? Describe any consideration given to the use of information technology in reducing the respondent burden or why its use is not appropriate to the specific collection.

4. Non-duplication

Is there information already available which can be used, or modified for use, for the purposes of this collection?

5. Burden on Small Business

If any of the respondents are small businesses or other small entities, discuss efforts taken to minimize the burden imposed by this collection; i.e., developing separate or simplified requirements, etc.

Figure C3.F4. Supporting Statement Outline, continued

6. Less Frequent Collection

What would be the consequences if the collection were conducted less frequently? If there are technical or legal obstacles to reducing the burden in this manner, explain.

7. Paperwork Reduction Act Guidelines

Explain any special circumstances that require the collection to be conducted in a manner inconsistent with the guidelines delineated in 5 CFR 1320.5(d)(2).

8. Consultation and Public Comments

a. Identify the date and page number of publication in the Federal Register of the Agency's 60-day notice, required by 5 CFR 1320.8(d), soliciting comments on the information collection prior to submission to OMB. Include a summary of any public comments received as a result of the 60-day Federal Register Notice, and address actions taken in response to those comments. If no comments were received, so state.

b. Describe efforts made to consult with persons outside the sponsoring Agency regarding availability of requested information, frequency of collection, clarity of instructions, etc. Consultation with respondents, or their representatives, should occur at least every 3 years, even if the information collection does not change. If there are circumstances that mitigate against consultation, explain. This item does not refer to consultants, per se. Rather, it addresses the act of consulting with others to determine continued viability of collection elements, procedures, etc.

9. Gifts or Payment

Explain any decision to provide payment or gifts to respondents, other than remuneration of contractors or grantees.

10. Confidentiality

Describe the extent of confidentiality inherent in the information collection. Address such things as protection provided against disclosure of information containing personal or organizational identifiers, disposal of completed forms or surveys, etc.

Figure C3.F4. Supporting Statement Outline, continued

Specifically address any assurance of confidentiality provided to respondents. If there is a basis for this assurance in statute, regulation, or Agency policy, please explain.

11. Sensitive Questions

Provide thorough justification for any questions of a sensitive nature, such as those pertaining to sexual behavior or attitudes, religious beliefs, race and/or ethnicity, or other matters usually considered private. Does the question violate the Privacy Act (reference (o)), as implemented by DoD 5400.11-R (reference (d))? What explanation of the necessity for collecting this data will be provided the respondents prior to their responding?

12. Respondent Burden, and its Labor Costsa. Estimation of Respondent Burden

Explain how the burden estimate reported in Item 13 of the OMB Form 83-I was determined. While not required, consultation with a sample of the potential respondents is desirable. Remember, however, that your sample must be of fewer than 10 potential respondents or the sample effort itself must be approved by OMB.

If the collection consists of more than a single instrument of collection; i.e., form, survey, questionnaire, etc., provide burden estimates for each instrument, and aggregate the total burden in Item 13, of OMB Form 83-I.

b. Labor Cost of Respondent Burden

Provide an estimate of annualized cost to respondents of only the burden hours imposed by the collection. Do not include capital, start-up, contracting out, or operations and maintenance costs. Do not include capital, start-up, or contracting out costs in this item. They should be shown in Item 13.

13. Respondent Costs Other Than Burden Hour Costs

Provide an estimate of annualized costs to respondents, other than the burden hour costs addressed in Item 12, resulting from the collection of information. This item expands upon the entries in Item 14 of OMB Form 83-I. Break this item into two components:

Figure C3.F4. Supporting Statement Outline, continued

a. Total capital and start-up costs annualized over the expected useful life of the item(s), and

b. Total operation and maintenance costs. Take into account those costs associated with generating, maintaining, and disclosing or providing the information.

Note: Capital and start-up costs include the purchase of computers and software; testing equipment; and record storage facilities, while O&M costs include such activities as contracting out for services and operational expenses, e.g., postage and printing. Generally, you need not address these costs if incurred prior to the October 1, 1995, implementation of Chapter 35 of Title 44 U.S.C.

14. Cost to the Federal Government

Annualize the costs incurred by the Federal Government in collecting and processing the information collected, and explain the methods used in determining these estimates. Include such elements as quantification of hours, operational expenses; i.e., equipment, overhead, printing, support staff, postage, contracting out for services, etc., and any other expense that would not have been incurred without this information collection. These costs, along with those estimated in items 12 and 13, may be aggregated in a single table.

15. Reasons for Change in Burden

Briefly explain the reason for change in burden, if any, as indicated in Item 13 of OMB Form 83-I. Remember that any proposal which starts from a current OMB inventory of "0" hours must be a Program Change, e.g., reinstatement of a previously approved collection for which approval has expired.

16. Publication of Results

If the results of the information collection will be published for statistical use, outline plans for tabulation, statistical analyses, and publication. Provide a timeline for the entire project including the beginning and ending dates of the actual collecting of information, estimated completion date of the report, its publication date, as well as any other scheduled actions.

Figure C3.F4. Supporting Statement Outline, continued

17. Non-Display of OMB Expiration Date

If you are requesting approval to omit display of the expiration date of OMB approval on the instrument of collection, provide justification for this request.

18. Exceptions to “Certification for Paperwork Reduction Submissions”

Use this item to explain any provision of Item 19.a of OMB Form 83-I to which you cannot certify. You should also have identified these items at the bottom of Item 19.a. Unless you can demonstrate that these exceptions are necessary to satisfy statutory requirements, or other substantial need, OMB will not approve the collection of information.

B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS

If the collection of information employs statistical methods, it should be indicated in Item 17 of OMB Form 83-I, and the following information should be provided in this Supporting Statement:

1. Description of the Activity

Describe the potential respondent universe and any sampling or other method used to select respondents. Data on the number of entities covered in the collection should be provided in tabular form for the universe as a whole and for each of the strata in the proposed sample. Indicate the expected response rates for the collection as a whole, as well as the actual response rates achieved during the last collection, if previously conducted.

2. Procedures for the Collection of Information

Describe any of the following if they are used in the collection of information:

- a. Statistical methodologies for stratification and sample selection;
- b. Estimation procedures;
- c. Degree of accuracy needed for the Purpose discussed in the justification;

Figure C3.F4. Supporting Statement Outline, continued

- d. Unusual problems requiring specialized sampling procedures; and
- e. Use of periodic or cyclical data collections to reduce respondent burden.

3. Maximization of Response Rates, Non-response, and Reliability

Discuss methods used to maximize response rates and to deal with instances of non-response. Describe any techniques used to ensure the accuracy and reliability of responses is adequate for intended purposes. Additionally, if the collection is based on sampling, ensure that the data can be generalized to the universe under study. If not, provide special justification.

4. Tests of Procedures

Describe any tests of procedures or methods to be undertaken. Testing of potential respondents (9 or fewer) is encouraged as a means of refining proposed collections to reduce respondent burden, as well as to improve the collection instrument utility. These tests check for internal consistency and the effectiveness of previous similar collection activities.

5. Statistical Consultation and Information Analysis

- a. Provide names and telephone number of individual(s) consulted on statistical aspects of the design.
- b. Provide name and organization of person(s) who will actually collect and analyze the collected information.

Figure C3.F5. Supporting Statement - Sample

SUPPORTING STATEMENT
Appointment of Chaplains for the Military Services

A. JUSTIFICATION

1. Need for Information Collection

Per 32 CFR part 65, in conjunction with 10 U.S.C. 532 and 591, professionally qualified clergy persons shall be appointed as chaplains to provide for the free exercise of religion for all members of the Military Services, their dependents, and other authorized persons. Since World War I, the professional qualifications of clergy have been certified by the faith group of which these clergy are members. Department of Defense-recognized faith groups are required to endorse clergy as fully qualified to serve as chaplains in the Armed Forces. No clergy may become a chaplain without endorsement, and loss of endorsement constitutes a loss of professional status. This information collection is needed to provide certification that clergy applying for chaplaincy in the Armed Forces are qualified members of a faith group recognized by the Department of Defense. It also is needed to certify the number of years of professional experience for each candidate.

DoD Directive 1304.19 requires that religious faith groups be officially recognized by the Department of Defense to endorse chaplains to the Military Services. This information collection is also needed to ensure that religious faith groups are appropriately organized and authorized by their constituencies to endorse clergy for service as chaplains in the Military Services.

2. Use of Information

There are two forms associated with this information collection. The DD Form 2088, "Certificate of Ecclesiastical Endorsement," is used whenever an ecclesiastical endorsing agency submits a clergy person as a candidate to become a chaplain. The ecclesiastical endorsing agency sends it to the Military Service that the clergy person wishes to join.

Figure C3.F5. Supporting Statement - Sample, continued

The Military Services are required to obtain a certification of the professional qualifications of clergy applying for the chaplaincy. This certification is rendered in the form of an ecclesiastical endorsement from the clergy person's religious faith group. An ecclesiastical endorsement is an essential part of the application process for clergy to become chaplains. The DD Form 2088 is used to certify that a member of the clergy is professionally qualified to become a chaplain. It requests information about name, address, professional experience, and previous military experience to be used in determining grade, date of rank, and eligibility for promotion for appointees to the chaplaincies of the Armed Forces. Both the military and the religious faith groups insist on ensuring that only professionally qualified clergy serve as chaplains. Without this formal process, the chaplaincy would cease to exist as a professional corps.

The DD Form 2741, "Department of Defense Ecclesiastical Endorsing Organization Verification/Reverification," information is used by religious faith groups seeking DoD recognition as ecclesiastical endorsing organizations for supplying chaplains to the Military Services. The information from the DD Form 2741 is collected whenever a religious faith group initially seeks recognition by the Department of Defense as an ecclesiastical endorsing agency; it is reverified every 3 years thereafter. The form is sent by the religious faith group to the Armed Forces Chaplains Board (AFCB).

Each religious faith group is required to certify that it is authorized by its membership to act as the sole agency certifying and endorsing clergy to serve as military chaplains. After initial certification, these organizations are required to reverify this information every 3 years. Information from the DD Form 2741 is used by the AFCB to determine whether a religious faith group should become (or remain) an ecclesiastical endorsing agency, able to endorse clergy for service as chaplains. The AFCB regularly supplies the military Chaplain Services with a list of recognized ecclesiastical endorsing agencies. The list is used in the chaplain recruitment/accession process to validate that candidates for the chaplaincy are endorsed by a group recognized by the Department of Defense.

Figure C3.F5. Supporting Statement - Sample, continued

The DD Form 2741, "Ecclesiastical Endorsing Organization Verification/Reverification," is used to request basic demographic information about religious denominations seeking to supply clergy persons to the Military Services to serve as chaplains. It requests the name of an official authorized to represent the organization to the Military Services, and it requires the organization to certify that it is authorized by its membership to act as the sole agency for certifying and endorsing clergy to serve as military chaplains.

The information collected from the DD Form 2088 has been used over the past several years by the three Military Services to ensure that those clergy who applied to become chaplains were professionally qualified and appropriately endorsed by their respective religious faith groups.

3. Improved Information Technology

Because the Chaplain Services and the ecclesiastical endorsing agencies have not previously had widespread access to advanced information technologies, they have not been able to utilize electronic means of information collection. However, now that advanced technologies are available and widespread, the Chaplain Services are prepared to begin transmitting the information using electronic forms technology, beginning in October, 1996. Over the next 3 years, we estimate an annual average of 10% of the respondents will use electronic forms. Since we are not requiring the ecclesiastical endorsing agencies to possess the computers and software, we estimate that it will take several years to phase in a completely electronic system. Many, but not all, of the ecclesiastical endorsing agencies plan to obtain the software as part of their customary business and for reasons other than to provide information or to keep records for the Government. Until all the civilian agencies obtain the necessary software, we will need to continue providing printed forms. Total conversion to electronic submissions will ultimately reduce response time and mailing costs.

4. Efforts to Identify Duplication

No other Government Agency is responsible for this program. The three military chiefs of chaplains do not have any forms or information collection that duplicate the information collected. There is no other way to collect this information.

Figure C3.F5. Supporting Statement - Sample, continued

5. Methods Used to Minimize Burden on Small Entities

Collection of this information does not have a significant impact on small businesses.

6. Consequences of Not Collecting the Information

This information is collected only on occasion. If collections were stopped, the ability of the Department of Defense to establish eligibility for service as a military chaplain would cease to exist.

7. Special Circumstances

There are no special circumstances that require this collection to be conducted in a manner inconsistent with the guidelines in 5 CFR 1320.5(d)(2).

8. Agency 60-Day Federal Register Notice and Consultations Outside of the Agency

This information collection was published in the Federal Register on January 26, 1996, pages 2494-2495. Consultation with the ecclesiastical endorsing agents regarding this information collection is done each December at the annual meeting of the National Conference on Ministry to the Armed Forces (NCMAF). At the 1995 conference, the ecclesiastical endorsing agencies attested that they are extremely pleased with the use of the DD Form 2088 and the entire endorsing process.

The DD Form 2741 was created by the Personnel Advisory Group of the Armed Forces Chaplains Board, in conjunction with NCMAF, when both groups recognized that DoD Directive 1304.19 requires an official process of verification/reverification of ecclesiastical endorsing agencies, and that the Department of Defense does not presently have a form for the requisite information collection.

9. Payments to Respondents

No payment or gift will be provided to the respondents.

Figure C3.F5. Supporting Statement - Sample, continued10. Assurance of Confidentiality

This information becomes a part of the individual's military personnel file and is maintained by each Service and protected under the Privacy Act of 1974.

11. Sensitive Questions

There are no sensitive questions asked in this information collection.

12. Estimates of Response Burden and Annual Cost to the Respondent

a. Respondent Burden:

(1) DD 2088

Response per respondent:	1
Number of respondents:	650
Hours per Response:	1
Annual Burden	650 hrs.

(2) DD 2741

Response per respondent:	1 every three years
Number of responses:	67 (average over three years: 200 respondents divided by 3 years)
Hours per responses:	3
Annual Burden:	201 Hours

Estimated average annual burden:

Number of Respondents	717
Responses Per Respondent	1
Total Annual Responses	717
Avg. Hours Per Response:	1.187 (Total annual hrs 851 divided by total annual responses 717 equals average hrs per response 1.187)
Total annual burden:	851 hrs. (Total annual responses 717 x average hrs. per response 1.187 equals annual burden 851)

Figure C3.F5. Supporting Statement - Sample, continued

b. Annual Cost to Respondent: Hourly pay for ecclesiastical endorsing agents:

Hourly pay for ecclesiastical endorsing agents:	\$25.00
DD Form 2088: 650 forms @ one hour per form =	\$16,250.00
DD Form 2741: 67 forms @ three hours per form =	\$5,025.00
	<hr/>
Total annual cost to respondent:	\$21,275.00

13. Estimates of Cost Burden to the Respondent for Collection of Information

Estimate of the Total Annual Cost Burden Per Form

a. Total capital and start-up cost component: There are no start-up costs associated with this information collection. Respondents maintain the information for reasons other than to provide information or to keep records for the Government. Although we are not requiring the civilian agencies to purchase software packages, at the most recent meeting of the about 50 ecclesiastical endorsers noted that they have or are soon planning to obtain electronic forms software. We will be mailing diskettes of our forms to those agencies that have the software.

b. Total average annual operational and maintenance cost

(1) Mailing (total forms 717)

DD Form 2088: 650 forms at \$.32 per form =	\$208.00
DD Form 2741: 67 forms at \$.64 per form =	\$42.88
7 pages at \$.03 per page = \$.21 X 67 applications =	\$14.07
TOTAL ANNUAL O&M COST:	\$264.95

Figure C3.F5. Supporting Statement - Sample, continued14. Estimated Annualized Cost to the Federal Government

a. Printing forms (OSD Printing Office)	\$50.00
Diskettes (avg 7 boxes annually @ \$5.00 box)	\$35.00
b. Accessioning officers reviewing and processing the forms - hourly pay \$25.00 x 10 minutes = \$4.16 per form 717 forms @ \$4.16 per forms	\$2,982.72
c. Mailing	
645 forms @ 32 cents per form	\$207.04
72 diskettes @ 50 cents per diskette	\$35.00
 TOTAL ANNUAL COST:	 \$3,309.76

15. Changes in Burden

Program change is due to reinstatement, with change, of an expired information collection.

16. Publication Plans/Time Schedule

The results for collection of this information will not be published.

17. Approval Not to Display Expiration Date

Approval not to display an expiration date is not being sought.

18. Exceptions to the Certification Statement

No exceptions to the certification statement are being sought.

Figure C3.F5. Supporting Statement - Sample, continued

B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS

This collection will not employ statistical methods.

[For collections employing statistical methods, as designated in Block (17) of OMB Form 83-I, Section (B) must be addressed.]

Figure C3.F6. Federal Register 60-Day Notice - Sample

60 DAY FEDERAL REGISTER NOTICE

DEPARTMENT OF DEFENSE

Office of the Secretary

Proposed collection; comment request

AGENCY: Office of the Assistant Secretary of Defense for Health Affairs

ACTION: Notice

In compliance with Section 3506(c)(2)(A) of the Paperwork Reduction Act of 1995, the Office of the Assistant Secretary of Defense for Health Affairs announces the proposed reinstatement of a public information collection and seeks public comment on the provisions thereof. Comments are invited on: (a) whether the proposed collection of information is necessary for the proper performance of the functions of the Agency, including whether the information shall have practical utility; (b) the accuracy of the Agency's estimate of the burden of the proposed information collection; (c) ways to enhance the quality, utility, and clarity of the information to be collected; and (d) ways to minimize the burden of the information collection on respondents, including through the use of automated collection techniques or other forms of information technology .

DATES: Consideration will be given to all comments received by [insert 60 days from publication of this notice in the Federal Register]. *(Type this entry exactly as written. The Federal Register Office will calculate and insert the correct date.)*

ADDRESSES: Written comments and recommendations on the proposed information collection should be sent to *the Office of the Civilian Health and Medical Program of the Uniformed Services (OCHAMPUS), Fitzsimons Army Medical Center, Office of Appeals and Hearings, ATTN: [Name of Project Officer], Aurora, CO 80045-6900.*

FOR FURTHER INFORMATION CONTACT: To request more information on this proposed information collection or to obtain a copy of the proposal and associated collection instruments, please write to the above address, or call *OCHAMPUS, Office of Appeals and Hearings, at [Telephone Number].*

Figure C3.F6. Federal Register 60-Day Notice - Sample, Continued

TITLE; ASSOCIATED FORM; AND OMB NUMBER: Professional Qualifications, Medical and Peer Reviewers; CHAMPUS Form 780; OMB Number 0720-0005.

NEEDS AND USES: The information collection requirement is necessary to obtain and record the professional qualifications of medical and peer reviewers utilized within CHAMPUS. The form is included as an exhibit in an appeal or hearing case file as evidence of the reviewer's professional qualifications to review the medical documentation contained in the case file.

AFFECTED PUBLIC: Business or other for profit; Not-for-profit institutions

ANNUAL BURDEN HOURS: 15

NUMBER OF RESPONDENTS: 60

RESPONSES PER RESPONDENT: 1

AVERAGE BURDEN PER RESPONSE: 15 minutes

FREQUENCY: On occasion

Figure C3.F6. Federal Register 60-Day Notice - Sample, Continued**SUPPLEMENTARY INFORMATION:****Summary of Information Collection**

Respondents are medical professionals who provide medical and peer review of cases appealed to the Office of Appeals and Hearing, OCHAMPUS. CHAMPUS Form 780 records the professional qualifications of the medical or peer reviewer. The completed form is included as an exhibit in the appeal or hearing case file, and documents for anyone reviewing the file, the professional qualifications of the medical professional who reviewed the case. If the form is not included in the case file, individuals reviewing the file cannot be readily assured of the qualifications of the reviewing medical professional. Having qualified professionals provide medical and peer review is essential in maintaining the integrity of the appeal and hearing process.

[Name of Liaison Officer]
Alternate OSD Federal Register
Liaison Officer
Department of Defense

Figure C3.F7. Federal Register 30-Day Notice - Sample

30 DAY FEDERAL REGISTER NOTICE

DEPARTMENT OF DEFENSE

Submission for OMB review; comment request

ACTION: NOTICE

The Department of Defense has submitted to OMB for clearance the following proposal for collection of information under the provisions of the Paperwork Reduction Act (44 U.S.C. Chapter 35)

TITLE, ASSOCIATED FORM AND OMB NUMBER: Marine Corps Advertising Awareness and Attitude Tracking Study, [If Applicable, Include Form Number], OMB Number 0704-0155.

TYPE OF REQUEST: Revision

NUMBER OF RESPONDENTS: 1,400

RESPONSES PER RESPONDENT: 2

ANNUAL RESPONSES: 2,800

AVERAGE BURDEN PER RESPONSE: 21 minutes

ANNUAL BURDEN HOURS: 980

NEEDS AND USES: This collection of information will be used by the Marine Corps to gauge the effectiveness of current advertising campaigns. The study also serves as an important planning tool in shaping the strategy for future advertising efforts. Questions are posed to sixteen to nineteen year old males and females to determine their awareness of Marine Corps advertising.

AFFECTED PUBLIC: Individuals or households

FREQUENCY: Semi-Annually

RESPONDENT'S OBLIGATION: Voluntary

Figure C3.F7. Federal Register 30-Day Notice - Sample

OMB DESK OFFICER: *[Name of Desk Officer]*

Written comments and recommendations on the proposed information collection should be sent to *[Name]* at the Office of Management and Budget, Desk Officer for DoD, Room 10236, New Executive Office Building, Washington, DC 20503.

DOD CLEARANCE OFFICER: *[Name of Clearance Officer]*

Written requests for copies of the information collection proposal should be sent to *[Name]*, WHS/DIOR, 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302.

[Name of Liaison Officer]
Alternate OSD Federal Register
Liaison Officer
Department of Defense

Figure C3.F8. OMB 83-C, "Paperwork Reduction Act Change Worksheet" - Sample

PAPERWORK REDUCTION ACT CHANGE WORKSHEET		
Agency/Subagency Department of Defense PDUSD(A&T)DP/DAR	OMB control number <u>0 7 0 4 - 0 3 8 7</u>	
<i>Enter only items that change</i>		
	Current record	New record
Agency form number(s)		
Annual reporting and recordkeeping hour burden		
Number of respondents	50	0
Total annual respondents	50	0
Percent of these responses collected electronically	0 %	0 %
Total annual hours	4,000	0
Difference		-4,000
Explanation of difference		-4,000
Program change		
Adjustment		
Annual reporting and recordkeeping cost burden (in thousands of dollars)		
Total annualized Capital/Startup costs	0	0
Total annual costs (O&M)	0	0
Total annualized cost requested	0	0
Difference		0
Explanation of difference		
Program change		0
Adjustment		0
Other changes** Information collection expires 07/31/1999. Section 1027 of the National Defense Authorization Act for Fiscal Year 1998 (P.L. 105-85) repealed the statute upon which the information collection requirement was based. See attached.		
Signature of Senior Official or designee: [Signature of Director, DIOR/WHS]	Date: May 6, 1998	For DIRA Use _____

** This form cannot be used to extend an expiration date.
OMB FORM 83-C, 10/95 Designed using Perform Pro. DOQ/WH/DIR

C4. CHAPTER 4

DOD INTERNAL INFORMATION REQUIREMENTS

C4.1. PURPOSE

The purpose of this chapter is to provide the necessary information for OSD Components to develop, review, revise, obtain approval and cancel their DoD internal information requirements. The specific procedures for DoD Components other than OSD are contained in their own supplemental prescribing regulations and instructions.

C4.2. SCOPE

This chapter documents the procedures for reviewing and licensing DoD internal information requirements imposed by OSD on the DoD Components under the authority of DoD Directive 8910.1 (reference (b)). It also covers the procedures for reviewing and licensing DoD internal information requirements imposed by the DoD Components on their subordinate commands to the extent that:

C4.2.1. Exemptions are specified in C4.4., below;

C4.2.2. Their internal implementing instructions and regulations are cross-referenced in the Manual; and

C4.2.3. Their internal indexes and/or listings of internal information requirements are also referenced.

C4.3. DEFINITIONS

C4.3.1. DoD Component Internal Information Requirements. For the purposes of this Manual, DoD internal information requirements are those information requirements that are internal to a particular DoD Component and licensed by that Component. Examples of these would be OSD internal, Army internal, Air Force internal, Navy internal, DLA internal, etc., and are referred to collectively as "DoD Internal Information Requirements."

C4.3.2. DoD Internal Information Requirement. The functional area expression of need for data, information, or reports to carry out specified and authorized functions

or management purposes, and that call for the establishment or maintenance of data, information, reporting or recordkeeping systems whether manual or automated within the Department of Defense.

C4.3.3. General Purpose Statistics. Statistics collected primarily for public and general Government use, without primary reference to policy or program operations of the Agency collecting the information. Agencies should conduct statistical surveys that are designed to produce results that can be generalized to the universe of the study.

C4.3.4. Internal Report. A report is data or information that is systematically collected and formatted by one or more organizational components and transmitted to another organizational component to meet an authorized and formally specified management information requirement. A report is frequently one output of a management information system.

C4.3.5. Internal Reporting. The process by which data or information for a report is collected, organized, transmitted, and retained within an organization.

C4.3.6. Management Information. Management information is data or information needed 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 other form and may be displayed on paper documents, magnetic tapes, terminal responses, or in other forms.

C4.3.7. Operating Document. A collection of information used to facilitate, accomplish, or provide a description or record of a transaction, function, or event. The information in an operating document may provide data (or input) for a report, but that is not its primary purpose. Examples are application forms, purchase orders, bills of lading, personnel actions, payrolls and time sheets, inspection or audit reports, and reports that involve direct command and control of military forces or cryptologic activities related to national security.

C4.3.8. Report Control Symbol (RCS). A standard Agency designation of a report consisting of letters and/or numbers. It indicates that the report has been reviewed and approved by a reports control office. OSD internal information requirements are symbolized with an RCS assigned by WHS/DIOR. DoD Components, other than OSD, symbolize their own internal information requirements.

C4.3.9. Reports Management Function. This function includes the reports,

forms, surveys, magnetic tapes, disks, and other media of internal agency systems or procedures as well as the reporting systems themselves. The reports management function is primarily concerned with public, interagency, DoD internal, and Congressional information requirements.

C4.4. EXEMPTIONS

The following types of DoD internal information requirements are exempt from the review and approval procedures of this Manual (unless specifically excluded from the overall exemption):

C4.4.1. Substantive intelligence reporting;

C4.4.2. Operating documents and information or documentation processed and/or transmitted within an operational system. Examples of operating documents include requisitions, material release orders, supply status notices, back order release notices, etc. However, summary and statistical reporting and other evaluation outputs of reports transmitted to higher levels, such as an "Aged Requisition Report," are not exempt.

C4.4.3. Report of findings, recommendations, or actions prepared by an official committee, board, focus group, study group, or task force;

C4.4.4. Comments or concurrence that are a part of the routine clearance of proposed actions or publications; recommendations or evaluations as to existing or proposed plans, policies, procedures, organizations, missions, publications, agenda, curricula or courses of action;

C4.4.5. Public information releases as covered by DoD Directive 5230.9 (reference a));

C4.4.6. Accounting system source documents and output reports justified during the accounting system concept and detail design phases of development as prescribed in DoD 7000.14-R (reference (w)). Therefore, the documents and reports shall become an integral part of the accounting system and need not be individually justified or assigned DoD Internal Report Control Symbols;

C4.4.7. Reports of audit, internal review, investigation of charges, a complaint, a claim or a violation of law or regulation. Reports of internal reviews when the review is imposed by a higher-level command are not exempt.

C4.4.8. Counterintelligence, personnel security, and other investigative surveys and reports as covered by:

C4.4.8.1. DoD Directive 5200.26, “Defense Investigative Program” (reference (x));

C4.4.8.2. DoD Directive 5200.27, “Acquisition of Information Concerning Persons and Organizations Not Affiliated with the Department of Defense” (reference (y));

C4.4.9. Reports of individuals such as savings bond participation, conflict of interest statements, financial disclosure statements, nominations or recommendations for awards, medical and dental documents, and the like;

C4.4.10. 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 the interpretation of biological analyses of body fluids, tissues, or other specimens; or the identification or classification of such specimens. This includes medical records established as a result of this type of action; and

C4.4.11. Routine requests for cost estimates related to a specific information requirement.

Note: When one of the foregoing exemptions is used in an implementing directive, instruction, or publication, the appropriate chapter and paragraph of this Manual should be cited as an authority for the exemption. For example, the appropriate entry in a DoD Instruction would read as follows:

Z. INFORMATION REQUIREMENTS

The information requirement contained in this Instruction is exempt from licensing in accordance with Chapter C4., paragraph C4.4., of DoD 8910.1-M (reference ()).

C4.5. DoD COMPONENT PROCEDURES

C4.5.1. Licensing Internal Information Requirements. DoD Components, other than OSD, have their own internal procedures for the management and control of

internal information requirements. They are, with the exception of the intelligence agencies, as follows:

<u>DoD Component</u>	<u>Publication</u>	<u>Title</u>
Army	AR 335-15	Management Information Control System
Air Force	AFI 33-324	Management and Control of Information Reports Requirements
DARPA	No Reports	No Reports
DISA	DISAI 630-225-2	Information Services - Information Requirements Management
DCAA	DCAAR 8910.1	Management and Control of Information Requirements and Reports Management
DSS	DDS 08-6-R	Reports Management Program
DLA	DLAD 8910.1	Management and Control of DLA Information Requirements
DSAA	DoD 5105.38-M	DSAA Security Assistance Management Manual
DSWA	DSWA Inst 5000.19B	Policies for the Management and Control of DSWA Information Requirements
JCS	AI 3000/0.06I	Management and Control of Joint Staff Information
Navy	SECNAV 5214.2B	Department of the Navy Information Requirements Management Program
NIMA	NIMA INST 5000.19A	Policies for the Management and Control of NIMA Information Requirements (Reports Control)

C4.5.2. Indexes of Internal Information Requirements. DoD Components, other than OSD, generally have their own indexes or listings of their approved internal information requirements. They are, with the exception of the intelligence agencies, as follows:

<u>DoD Component</u>	<u>Publication</u>	<u>Title</u>
Army	DA PAM 25-69	List of Approved Recurring Management Information Requirements
Air Force	AFCAT 37-140	Index of Headquarters USAF Controlled Reports
DARPA	N/A	N/A
DISA	DISAN	Register of Approved Recurring Information Requirements
DCAA	DCAAI 7750.2	Index of Approved Information and Reporting Requirements
DSS	DSS 08-6-R	Reports Management Program
DLA	N/A	N/A
DSAA	DoD 5105.38-M	DSAA Security Assistance Management Manual
DSWA	COMP-1	Register of Approved Recurring Reports
JCS	AI 3000/0.06I	Enclosures to the Administrative Instruction
Navy	N/A	N/A
NIMA	NIMAL 5000.19	List of NIMA Recurring Reports

C4.6. OSD PROCEDURES FOR LICENSING DoD INTERNAL INFORMATION REQUIREMENTS

C4.6.1. General. If the office requesting the information is a DoD or OSD Component, Defense Agency, or a DoD Field Activity and they are imposing an information requirement on one or more DoD Components other than their own Component, then the requiring office, unless exempt, shall obtain a Report Control Symbol (RCS) from WHS/DIOR. Figure C4.F1. shows the overall flow of the approval process and the organizations responsible for the various steps in the process.

C4.6.1.1. This involves the preparation of an SD Form 455, "Request for Approval of Information Collection," and a cost estimate using Optional Form (OF) 101, "Summary Worksheet for Estimating Reporting Costs." Figure C4.F2. is an example of a properly completed SD Form 455. Chapter C7. of this Manual provides guidance and examples for preparing the OF 101. The completed SD Form 455 and OF 101 are then coordinated with the responding DoD Components, processed through the IMCO, and submitted with the prescribing issuance to WHS/DIOR for approval.

C4.6.1.2. Additional documentation required includes a justification statement, a copy of the correspondence or legislation imposing the information requirement, the survey instrument review memorandum obtained from OUSD(P&R)/Defense Manpower Data Center (DMDC) and the approved survey instrument, when applicable.

C4.6.1.3. If problems are expected with documenting the proposed information requirement (e.g., high cost, Privacy Act, complex requirement, survey or form, etc.) the requiring office should contact the OSD Component IMCO before initiating the licensing process. The IMCO may recommend that the office conduct initial discussions with WHS/DIOR to facilitate the approval process.

C4.6.2. Coverage. The procedures in this subsection apply only to the OSD Components.

C4.6.2.1. Special Requirements. On an individual case-by-case basis, special one-time, high priority, or time-urgent requirements may be approved and symbolized without being subjected to an in-depth review and analysis, provided a statement of urgency is included with the SD Form 455 and signed at an appropriate level commensurate with the estimated cost of providing the information. An expiration date of short duration will be assigned until the required additional documentation is completed and submitted to WHS/DIOR.

C4.6.2.2. Prepare OF 101, "Summary Worksheet for Estimating Reporting

Costs.” A cost estimate, prepared in accordance with the guidance provided in Chapter C7. of this Manual, is required for every new or substantially changed information requirement.

C4.6.2.2.1. Reference (i) requires that cost estimates for Agency internal information requirements be done the same way as reporting cost estimates for interagency information requirements.

C4.6.2.2.2. Revised cost estimates, excluding all initial one-time costs, are required for the first extension or reinstatement following initial licensing.

C4.6.2.2.3. New cost estimates shall also be prepared when the cost and/or scope of collecting the information changes substantially. Examples of substantial changes are provided at paragraph C4.7.1., below. Cost estimates may be prepared on plain bond paper in lieu of the OF 101 or may be submitted in an existing format when the cost data can be provided as required in block 5., “Estimated Cost of the Requirement” of SD Form 455.

C4.6.2.3. Prepare SD Form 455, "Request for Approval of Information Collection." The instructions for preparing an SD Form 455 are provided on the back of the form (see Figure C4.F3.) and are as follows:

Item 1. From (DoD organization name, directorate, and mailing address). Self-explanatory.

Item 2. Date of Request. Self-explanatory.

Item 3. Information Requirement Data.

3a. Provide the title of the report, information system, recordkeeping requirement, data base, etc., as it appears in the prescribing issuance or memorandum. With regard to surveys, avoid using the year in the title since surveys generally take more than one year to complete unless the survey is specific to that year only.

3b. Mark the appropriate box to indicate whether the request is for a new RCS or for a revision to an existing RCS.

3c. When the request is to revise an existing RCS, indicate the current RCS.

3d. Provide the reporting frequency of the information requirement using the following frequency codes:

- A - Annually
- AR - As Required
- BI - Biennially
- BM - Bimonthly
- BW - Biweekly
- D - Daily
- M - Monthly
- OT - One Time
- Q - Quarterly
- QD - Quadrennially
- QI - Quintennially
- SA - Semiannually
- TRA - Thrice Yearly
- TRI - Triennially
- W - Weekly

3e. For new RCSs enter the date the project officer is expected to implement the reporting requirement. Leave blank for extension or reinstatement of existing RCSs.

3f. Cite existing related RCSs.

3g. Provide the form number(s) to be used when completing this requirement, if applicable. The form(s) should also be reviewed at this time for currency.

3h. If the information requested requires a Privacy Act Statement, provide the System of Records Number (Check with WHS/C&D/Directives and Records Division).

3i. If the instrument of collection is a survey enter "Y" and attach a copy of the questionnaire. If this is an attitude/opinion survey, indicate DMDC coordination in block 7a, attach a copy of the review memorandum received from DMDC and the questionnaire. Otherwise, enter "N."

Item 4. Applicable Documents.

4a(1). If the information requirement originates within the

Department of Defense, cite the existing or proposed DoD Directive or Instruction prescribing the information requirement.

4b(1). If the information requirement is required by law, cite the law or statute (i.e., Section 9999 of Public Law 104-13, Title 10 USC 2678, 103 Stat. 9999, 41 CFR Part 101-11).

4c(1). If the information requirement originates in another Federal Agency, provide the Agency and prescribing Regulation, Directive (i.e., Treasury Department Regulation xxx).

4d(1). If the information requirement originates in a non-DoD source (i.e. such as Congressional requests not incorporated in Federal statutes, requests from State Governments, etc.) cite the document.

4a(2) - 4e(2). List all existing DoD Directives, Instructions, Manuals, memoranda, forms, etc., or non-DoD publications to be superseded that contain references to the information requirement.

Item 5. Estimated Cost of the Information Requirement (see Chapter C7. of this Manual). If the estimated cost exceeds \$1 Million the SD Form 455 shall be signed at the Deputy Assistant Secretary level requiring the information. Unrealistic, uneven or unsubstantiated respondent cost estimates may cause the submission to be returned without action.

5a. Enter applicable DoD Component (OSD, Army, Navy, Air Force, DMDC, etc.).

5b. Provide the costs to set-up the information collection cycle (include cost of personnel, ADP machine time, if applicable, supplies, etc.) from Block 5(f) of the Optional Form (OF) 101.

5c - 5e. Obtain the cost of each report, to include personnel costs (hours worked times average cost per work hour), ADP machine time, if applicable, supplies used, etc., from Block 9(f) of OF 101. Multiply the cost per report times the number of reports in a year to obtain the total cost per year.

5f. Total the initial one-time cost and the annual recurring cost and place the results in this block.

Item 6. Justification of Specific Need for this Information

Requirement. Provide a concise but complete justification for the requirement. If additional space is needed, attach a continuation sheet. Include an explanation or discussion of:

- a. Specific need for the information requirement and resulting benefits in light of projected costs;
- b. Risks or penalties associated with not having the information available;
- c. The results of examining other sources of information currently available and why such information cannot satisfy the requirement;
- d. Less costly alternatives considered for satisfying the requirement and why each was not chosen;
- e. How the information is to be used by the recipients; and
- f. How the need and use warrant the frequency requested. If additional space is needed, attach a continuation sheet.

Item 7. Coordination. Coordination is not required if this information collection is contained in an approved DoD issuance. Otherwise, provide the name, organization and telephone number of each responding DoD Component concurring with the information requirement.

NOTE: Concurrence by all responding DoD Components is required before approval. Where concurrence cannot be obtained, the requiring office will request that the Component concerned provide a statement of the reasons for the non-concurrence and attach it to the SD Form 455. OUSD(P&R)/DMDC coordination is required for attitude/opinion surveys only.

Item 8. Project Officer. Self-explanatory.

Item 9. Requesting Organization Approving Official. The SD Form 455 should be signed by the head or principal director of the requesting office. If the estimated cost exceeds \$1 Million the SD Form 455 shall be signed at the Deputy Assistant Secretary level requiring the information.

Item 10. Information Management Control Officer. The completed SD Form 455 will be reviewed and coordinated on by the originating Component's

IMCO. The IMCO is responsible for reviewing the request to ensure that the information requirement is valid, not a duplicate, properly coordinated and authorized. SD 455 packages not coordinated with the OSD Component IMCO will be returned.

Item 11. For use by WHS/DIOR. Self-explanatory.

C4.6.2.4. Coordination.

C4.6.2.4.1. Clear Through DoD Component Information Management Control Officer. The IMCO is considered to be the most knowledgeable person in an organization concerning the review and approval of information requirements and can save the project officer considerable time and effort. Coordination with the IMCO early in the documentation process is encouraged and recommended. Submit the original SD Form 455 package through the IMCO who will review it for completeness, duplication, proper coordination, and compliance with WHS/DIOR requirements agreed to during any initial discussions. In addition, the IMCO will ensure compliance with the following programs:

C4.6.2.4.1.1. Privacy Act (reference (o)) - If the information requirement requires the provision of personal information, coordinate the SD 455 package with WHS, Directorate for Correspondence and Directives, Directives and Records Division for a determination on compliance with DoD 5400.11-R (reference d));

C4.6.2.4.1.2. Postal - If the instrument of collection is a mailer, follow the procedures in DoD 4525.8-M (reference (v));

C4.6.2.4.1.3. Data Administration - If the data being collected are used to support DoD operations and decision-making or in an AIS that requires horizontal and/or vertical sharing of data, follow the procedures in DoD 8320.1-M (reference (f));

C4.6.2.4.1.4. Reports Management Program (Public Information Collections) - If this information is also collected from members of the public, follow the procedures in Chapter C3. of this Manual;

C4.6.2.4.1.5. Reports Management Program (Interagency Reporting Requirements) - If this information is also collected from other Federal Agencies, follow the procedures in Chapter C5. of this Manual;

C4.6.2.4.1.6. Forms Management Program - If the instrument of

collection should be controlled as a form, follow the procedures in DoD 7750.7-M (reference (e));

C4.6.2.4.2. Respondents. A proposed information requirement must be coordinated with the responding DoD Component(s). This can be done through the formal coordination of the prescribing issuance or coordination of the formal correspondence imposing the information requirement. Cost estimates may be obtained from the respondents before, during, or after coordination. An RCS is not required to obtain cost estimates from the DoD Components.

C4.6.2.5. Submission to WHS/DIOR.

C4.6.2.5.1. Reports Management Criteria. The DoD Internal Reports Manager reviews all requests for approval of information collections and the supporting documentation. The specific items checked are:

- C4.6.2.5.1.1. Original signed SD Form 455;
- C4.6.2.5.1.2. Signature level is commensurate with the cost of collecting the information;
- C4.6.2.5.1.3. SD Form 455 is complete;
- C4.6.2.5.1.4. Justification is adequate;
- C4.6.2.5.1.5. Costing is adequate;
- C4.6.2.5.1.6. Coordination with respondents is appropriate;
- C4.6.2.5.1.7. Coordination with applicable functional areas obtained (i.e., Defense Privacy Office, Component Data Administration, Forms Management, survey approval);
- C4.6.2.5.1.8. Information requirement is not a duplicate;
- C4.6.2.5.1.9. Consistent with mission/charter of submitting office;
- C4.6.2.5.1.10. Information requested is in line with stated need;
- C4.6.2.5.1.11. Request is reasonable; and
- C4.6.2.5.1.12. Request is consistent with statutory and regulatory

authority.

NOTE: If there is a problem with the documentation submitted, the DoD Internal Reports Manager will contact the OSD Component IMCO submitting the package and try to resolve the problem informally. If the problem cannot be resolved by informal means, the submission will be returned with a written explanation.

C4.6.2.5.2. Privacy Act (reference (o)). WHS/DIOR reviews the proposed information collection for compliance with the Department of Defense Privacy Program. A description of the criteria and rules can be found in DoD 5400.11-R (reference (d)).

C4.6.2.5.3. DoD Forms Management Program. When applicable, WHS/DIOR reviews the proposed information requirement to determine if the instrument of collection should be controlled as a form in accordance with DoD 7750.7-M (reference (e)).

C4.6.2.5.4. DoD Data Administration Program. DoD 8320.1-M (reference (f)) provides procedures for implementing the DoD Data Administration Program. It also contains procedures for identifying, standardizing, collecting, distributing, using, and disposing of DoD data.

C4.6.2.5.5. Survey Instrument Approval. All personnel attitude and opinion survey instruments, regardless of format, shall be submitted through the OUSD(P&R) to the Defense Manpower Data Center (DMDC) for review and approval in accordance with DoD Instruction 1100.13 (reference (k)). DMDC should be contacted early in the process to ensure that survey instruments are designed, developed, and administered in such a way as to ensure optimum results.

C4.6.2.6. Approval/Disapproval. If the proposed information requirement is approved, WHS/DIOR will assign an RCS, notify the appropriate IMCO by electronic mail message or formal memorandum and enter the approved DoD internal information requirement into the inventory. If disapproved, WHS/DIOR will return the submission with an explanation of the reason(s) the request was disapproved.

C4.6.2.7. Appeal Provisions. If the requiring office is not satisfied with the reason(s) for disapproval of the proposed information requirement, the decision can be appealed through proper channels. If the denial cannot be resolved through proper channels and a legal interpretation is required, the Office of the General Counsel, WHS, shall render an opinion.

C4.7. OSD PROCEDURES TO REVISE DOD INTERNAL REQUIREMENTS

C4.7.1. Substantial Changes. If an information requirement has changed substantially, a new cost estimate (OF 101) must be prepared and submitted with a new SD Form 455. Substantial changes may involve, for example:

C4.7.1.1. Organizational reassignment of the program;

C4.7.1.2. Title of information requirement;

C4.7.1.3. Increase in cost greater than 10% for respondents to provide the requested information;

C4.7.1.4. Number of Respondents;

C4.7.1.5. Content of collection; and

C4.7.1.6. Other substantial changes.

NOTE: Substantial changes may require modification of the prescribing issuance. If this occurs, the modified prescribing issuance must be submitted with the revised SD Form 455.

C4.7.2. Minor Changes. If an SD Form 455 requires minor changes, they can be accepted by telephone or electronic mail by the DoD Internal Reports Manager or by correspondence to WHS/DIOR. All changes, whether substantial or minor, should be coordinated with the Component IMCO.

C4.8. OSD PROCEDURES TO CANCEL AN EXISTING DOD INTERNAL INFORMATION REQUIREMENT

The requiring office may cancel an information requirement over the telephone by identifying the RCS and the reason for the cancellation. Memoranda for the record or electronic mail messages are preferred but not necessary.

C4.8.1. IMCOs should cancel information requirements as soon as the requiring office determines that the RCS is no longer needed.

C4.8.2. IMCOs should cancel or reinstate expired information requirements

within 90 days of expiration. Expired collections should be minimized.

C4.8.3. If an RCS has expired, the respondents are not required to supply the requested information. However, as a practical matter, respondents may provide the requested information but notify the Component IMCO.

C4.9. OSD INFORMATION REQUIREMENT REVIEWS

C4.9.1. User Responsibilities. It is the responsibility of the OSD Component requiring office to ensure that information requirements imposed on the DoD Components are valid and essential to the mission of the OSD Component. In addition, OSD Components are to ensure that:

C4.9.1.1. Information requirements are not duplicated;

C4.9.1.2. Reporting workload is minimized through the use of sampling or information technology resources;

C4.9.1.3. Information needs are clearly identified; and

C4.9.1.4. Automated system resources are cost-effectively applied.

C4.9.2. Scheduled Review Cycles.

C4.9.2.1. Expiration Dates.

C4.9.2.1.1. Recurring DoD internal information requirements will be assigned expiration dates no longer than three years from the date of approval by WHS/DIOR. These requirements will be reviewed on an individual basis when the expiration date is imminent. At that time, the RCS should be extended by the submission of a new SD Form 455 or canceled.

C4.9.2.1.2. One-time information requirements and surveys will be licensed for a period not to exceed one year, unless otherwise specified. One-time information requirements and surveys will be canceled upon expiration unless extended by the project officer through the OSD Component IMCO.

C4.9.2.2. Annual Reviews. OASD(C3I) establishes annual report reduction goals for each fiscal year. OSD Component IMCOs should review their information requirements and coordinate with affected project offices to take action to cancel

unnecessary active and expired information requirements to meet the goal by the end of the fiscal year.

C4.9.2.3. Reviews of One-time Reports. WHS/DIOR will, from time-to-time, review the status of information requirements licensed with a frequency of one-time in order to control the number of expired one-time requirements that have been completed, but not canceled from the inventory. WHS/DIOR will notify the OSD Component IMCO by memorandum or electronic mail message documenting the expired RCS, report title, and the expiration date and request that the RCS be canceled in accordance with the procedures set forth in C4.8., of this Manual. WHS/DIOR will continue to notify the OSD Component IMCO, as necessary, to ensure that action is taken to either reinstate or cancel the expired RCS.

C4.9.2.4. Reviews of Surveys. Customer satisfaction and statistical analysis surveys are subject to the same reviews afforded one-time and recurring information requirements. OSD Component IMCOs, in coordination with the requiring project officer, should take the appropriate action necessary to extend or cancel these requirements either prior to the expiration date of the RCS or when the requirement has been completed.

C4.9.2.5. Reviews of DoD Issuances. When a recurring information requirement has been approved and symbolized an appropriate statement to that effect shall appear in the prescribing issuance or publication. For example, the appropriate section in an Instruction would read as follows:

Z. INFORMATION REQUIREMENTS

The information requirement contained in this Instruction has been assigned Report Control Symbol DD-XXX(X)9999, in accordance with DoD 8910.1-M (reference ()).

C4.10. DoD INTERNAL INFORMATION REQUIREMENT INVENTORY

C4.10.1. Overview. WHS/DIOR maintains an inventory of DoD internal information requirements that includes the report control symbol, report title, requiring organization, DoD internal authority, external authority, respondents, estimated cost and other related data. This inventory is used to publish DoD 8910.1-L (reference (p)), to screen proposed information requirements for duplication, to perform workload assessments, to support IRM reviews, and for general reports management activities.

C4.10.2. Making Changes to the Inventory. Minor changes may be required when errors appear in the inventory listing. The OSD Component IMCO may request that these minor changes be made by electronic mail message or telephone call to the DoD Internal Reports Manager or by Memorandum to WHS/DIOR. Substantial changes to an information requirement in the inventory are made through submission of an SD Form 455.

C4.10.3. Output Reports.

C4.10.3.1. Monthly Reports to the IMCO. Every month, WHS/DIOR sends a report to the IMCOs that provides the latest status of reports control at the Department of Defense level. It includes a list of DoD internal information requirements canceled since the last report and a list of expired DoD internal reports. OSD Component IMCOs shall review the monthly activity reports and take appropriate action, especially with regard to expired information requirements. If an information requirement is no longer required, it should be canceled.

C4.10.3.2. DoD 8910.1-L, "Listing of Approved Recurring Information Requirements" (reference (p)). This listing, required by DoD Directive 8910.1 (reference (b)), is published monthly on the Internet under DefenseLINK, Publications by WHS/DIOR. Its purpose is to identify DoD internal information requirements approved by OSD, interagency information requirements approved by GSA, and public information requirements approved by OMB.

C4.10.3.3. Special Request Reports. Special request reports are available to OSD Component IMCOs and Congressional liaison personnel whenever they are needed to focus on a particular aspect of their respective reports control programs. These reports are generally used to conduct internal reviews of reporting requirements, to reconcile OSD Component inventories with WHS/DIOR inventories, and to brief new personnel. Special requests may be made to WHS/DIOR by Memorandum or electronic mail at any time. WHS/DIOR will generally respond within 10 business days, whenever possible.

C4.11. SURVEYS OF DoD PERSONNEL

All attitude and opinion surveys of DoD personnel that are also DoD internal information requirements must be approved by OUSD(P&R) as required by DoD Instruction 1100.13 (reference(k)). Surveys of DoD personnel by non-governmental sources are neither encouraged nor discouraged. Surveys by non-governmental

sources may be sponsored by the OSD Component responsible for that functional area (e.g., medical (Health Affairs), financial (Comptroller), personnel (Personnel and Readiness), etc., at the discretion of that office).

Figure C4.F1. OSD Procedures to License DoD Internal Information

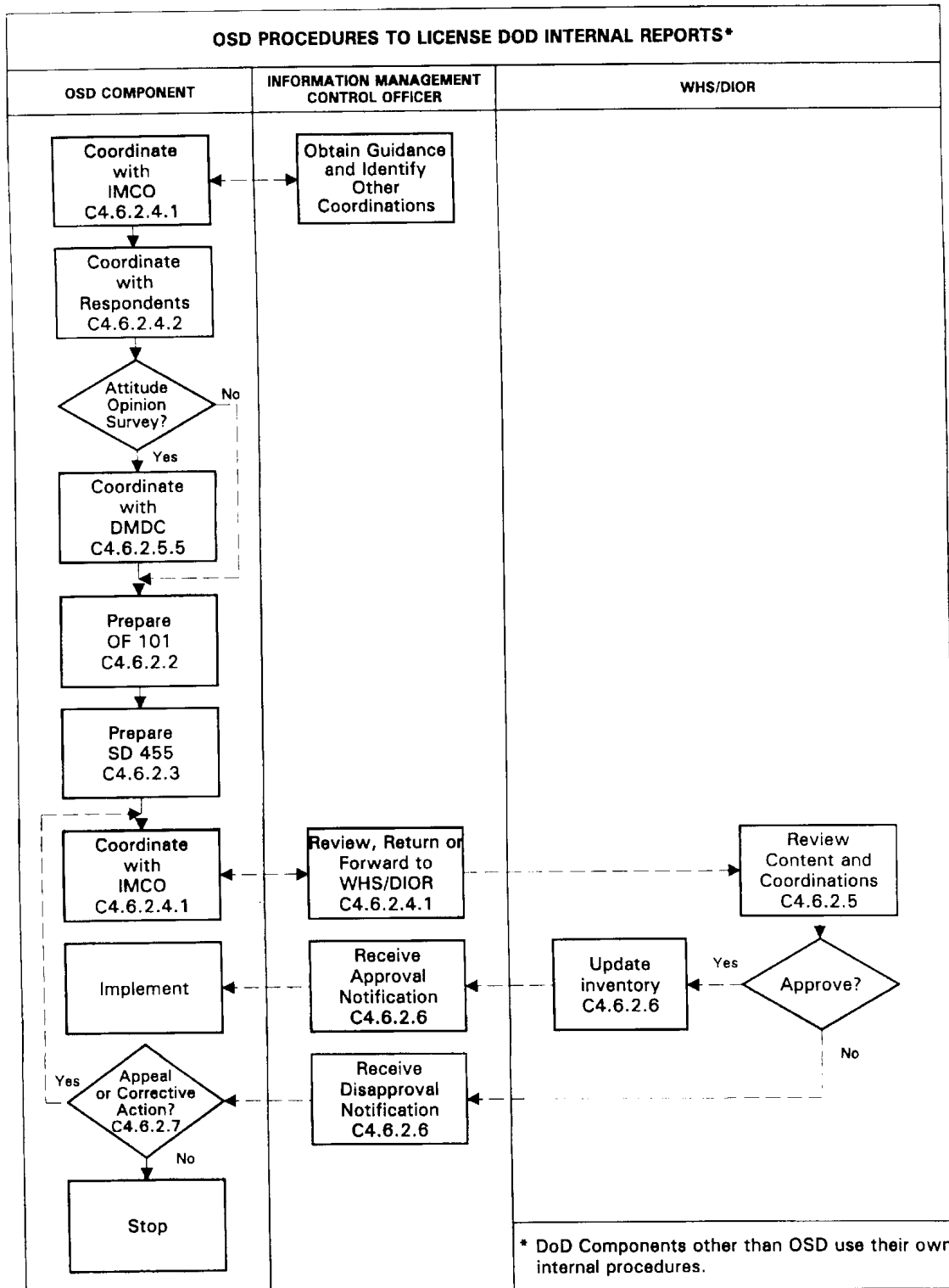


Figure C4.F2. SD Form 455, "Request for Approval of Information Collection" - Sample

REQUEST FOR APPROVAL OF INFORMATION COLLECTION											
<i>(See Instructions on back before completing form.)</i>											
1. FROM <i>(OSD organization name, directorate, and mailing address)</i> Washington Headquarters Services, Directorate for Information Operations and Reports 1215 Jefferson Davis Highway, Suite # 1204, Arlington, VA 22202-4302					2. DATE OF REQUEST <i>(YYYYMMDD)</i> 19980531						
3. INFORMATION REQUIREMENT DATA											
a. REPORT TITLE Licensing DoD Internal Information Requirements				b. <i>(X one)</i> <input checked="" type="checkbox"/> NEW <input type="checkbox"/> REVISED	c. EXISTING REPORT CONTROL SYMBOL <i>(RCS) (If applicable)</i> DD-						
d. FREQUENCY AR	e. INITIAL DUE DATE <i>(YYYYMMDD)</i> 19980601	f. RELATED REQUIREMENTS <i>(RCS's)</i>	g. FORM NO.(S) <i>(If applicable)</i> SD455		h. SYSTEM RECORDS N/A	i. SURVEY <i>(Y/N)</i> N					
4. APPLICABLE DOCUMENTS <i>(List number(s) next to type)</i>			5. ESTIMATED COST OF REQUIREMENT								
		(1) PRESCRIBING	(2) REPLACED	RESPONDENT NAME a.	INITIAL ONE-TIME COST b.	ANNUAL RECURRING COST			TOTAL ESTIMATED COST f.		
a. DOD ISSUANCE	DoDD 8910.1					NUMBER REPORTS IN YEAR c.	COST PER REPORT d.	COST PER YEAR e.			
b. STATUTORY	Title 41 CFR Part 101-11.103	FIRMR 201-9									
c. INTERAGENCY											
d. OTHER <i>(e.g. Memo)</i>											
e. FORMS											
6. JUSTIFICATION OF SPECIFIC NEED FOR THIS INFORMATION REQUIREMENT											
<p>If the office requesting the information is a DoD or OSD Component, Defense Agency, or a DoD Field Activity and they are imposing an information requirement on one or more DoD Components other than their own Component, then the requiring office, unless exempt, shall obtain a Report Control Symbol (RCS) from WHS/DIOR. This involves the preparation of an SD Form 455, "Request for Approval of Information Collection," and a cost estimate using Optional Form (OF) 101, "Summary Worksheet for Estimating Reporting Costs." The completed SD Form 455 and OF 101 are then coordinated with the responding DoD Components, processed through the OSD Information Management Control Officer (IMCO), and submitted to WHS/DIOR for approval. Additional documentation required may include a justification statement, a copy of the correspondence or legislation imposing the information requirement, survey instrument review memorandum obtained from OUSD(P&R)/DMDC and the approved survey instrument, when applicable. If problems are expected with documenting the proposed information requirement (e.g. high cost, Privacy Act, complex requirement, survey or form, etc.) the requiring office should contact the OSD IMCO before initiating the licensing process. The IMCO may recommend that the office conduct initial discussions with WHS/DIOR to facilitate the approval process. If the proposed information collection is approved, WHS/DIOR will assign a Report Control Symbol, notify the appropriate OSD IMCO and enter the approved requirement into the inventory. If disapproved, WHS/DIOR will return the submission with an explanation of the reason(s) the request was disapproved.</p>											
7. COORDINATION <i>(Do not complete if this information collection is contained in an approved DoD issuance.)</i>					8. PROJECT OFFICER						
a. NAME					b. ORGANIZATION			c. TELEPHONE NO.		b. TYPED NAME I. M. Officer	
Coordination obtained during staffing of DoD 8910.1-M, "DoD Procedures for Management of Information Requirements" May 1998										c. TELEPHONE NO. (123)456-7890	
					9. REQUESTING ORGANIZATION APPROVING OFFICIAL						
					a. TYPED NAME I. M. Official			b. SIGNATURE			
					10. INFORMATION MANAGEMENT CONTROL OFFICER (IMCO)						
					a. TYPED NAME I. M. IMCO			b. SIGNATURE			
11. FOR USE OF OSD/WHS/DIOR (INFORMATION CONTROL DIVISION)											
a. REPORT CONTROL SYMBOL (RCS) DD-			b. EXPIRATION DATE <i>(YYYYMMDD)</i>		c. SIGNATURE			d. DATE SIGNED <i>(YYYYMMDD)</i>			

SD FORM 455, MAY 1998 (EG)

PREVIOUS EDITION MAY BE USED UNTIL SUPPLY IS EXHAUSTED.

Designed using Perform Pro. WHS/DIOR

Figure C4.F3. SD Form 455, "Request for Approval of Information Collection" - Instructions

INSTRUCTIONS FOR COMPLETION OF SD FORM 455, "REQUEST FOR APPROVAL OF INFORMATION COLLECTION"																
<p>General - DoD Directive 8910.1 (<i>See Note 1</i>) prescribes the policy and DoD 8910.1-M (<i>See Note 2</i>) prescribes the procedures which implement the policy for the management and control of DoD internal information requirements. OSD/WHS/DIOR (Information Control Division (ICD)) maintains an inventory and copy of all approved OSD information requirements. SD Form 455, "Request for Approval of Information Collection," is used to request approval of new or revised information requirements, other than public or interagency information requirements.</p> <p>Coordination Procedure - The originating OSD organization's project officer must coordinate this request with that organization's approving official and Information Management Control Officer (IMCO). The IMCO must review and coordinate on this request prior to submission to OSD/WHS/DIOR/ICD. When approved, it will be returned to the IMCO for distribution.</p> <p>Copies - Submit one original copy.</p> <p>Item 1 - Provide OSD organization originating the request, including the directorate or equivalent level.</p> <p>Item 3a - Provide exact title of report, information system, recordkeeping requirement, data base, etc., as it appears in prescribing issuance or memorandum.</p> <p>Item 3c - If this is a revision, provide the existing Report Control Symbol (RCS).</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 33%;">A =Annually</td> <td style="width: 33%;">D =Daily</td> <td style="width: 33%;">QI =Quintennially</td> </tr> <tr> <td>AR =As Required</td> <td>M =Monthly</td> <td>SA =Semiannually</td> </tr> <tr> <td>BI =Biennially</td> <td>OT =One Time</td> <td>TRA =Trice Yearly</td> </tr> <tr> <td>BM =Bimonthly</td> <td>QD =Quadrennially</td> <td>TRI =Triennially</td> </tr> <tr> <td>BW =Biweekly</td> <td>Q =Quarterly</td> <td>W =Weekly</td> </tr> </table> <p>Item 3e - Provide the initial report due date.</p> <p>Item 3f - Cite references of existing related Report Control Symbols.</p> <p>Item 3g - If forms are used in this reporting requirement, provide the form numbers.</p> <p>Item 3h - If the information requested has a Privacy Act Statement (PAS), provide the System of Records Number (<i>See Note 3</i>).</p> <p>Item 3i - Indicate whether this collection is a survey. If it is an attitude/opinion survey, obtain Defense Manpower Data Center (DMDC) coordination in Item 7a and attach the DMDC review memorandum to the SD455 and submit to WHS/DIOR/ICD.</p> <p>Item 4a(1) - For internal DoD requirements, cite the proposed or existing DoD directive, instruction, manual or memorandum.</p> <p>Item 4b(1) - If this requirement is prescribed by Federal statute, cite the statute - e.g., Section xx, PL xx-xxx, Section xx, Title XX, USC.</p> <p>Item 4c(1) - If this requirement originates in another Federal government agency, provide agency and prescribing regulation, directive, etc. - e.g., Treasury Department Regulation xxx.</p> <p>Item 4d(1) - Cite any other non-DoD source, such as Congressional requests not incorporated in Federal statutes, requests from State governments, etc.</p>	A =Annually	D =Daily	QI =Quintennially	AR =As Required	M =Monthly	SA =Semiannually	BI =Biennially	OT =One Time	TRA =Trice Yearly	BM =Bimonthly	QD =Quadrennially	TRI =Triennially	BW =Biweekly	Q =Quarterly	W =Weekly	<p>Item 4a, b, c, d, e (2) - Cite all existing DoD directives, instructions, manuals, memoranda, forms, etc., or non-DoD requirements, to be superseded by this requirement.</p> <p>Item 5a - Army, Navy, Air Force, DLA, ALLDOD, ALLODA, etc.</p> <p>Item 5b - Provide set-up costs to include cost of personnel, ADP machine time, if applicable, supplies, etc.</p> <p>Item 5c, d, e - Provide cost of each report, to include personnel cost (number of work-hours X average cost per work-hour), ADP machine time, if applicable, supplies used, etc. Multiply cost per report times the number of reports in a year to arrive at total cost per year.</p> <p>Item 5f - Sum of initial one-time cost and annual recurring cost (total of 5b and e).</p> <p>Item 6 - Provide a concise but complete justification for the requirement. Include an explanation or discussion of: (a) specific need for requirement and resulting benefits in light of projected costs; (b) risks or penalties associated with not having the information; (c) the results of examining other sources of information currently available and why such information cannot satisfy the requirement; (d) less costly alternatives considered for satisfying the requirement and why each was not chosen; (e) how it is to be used by recipients; and (f) how the need and use warrant the frequency requested. Use a continuation sheet, if necessary.</p> <p>Item 7 - Do not complete this item when DoD-wide concurrence is obtained through a DoD issuance coordination process. However, a statement must be made that concurrence was obtained by this method. This block must be completed when any other coordination process is used, such as letter or memorandum. The originator of the information collection will provide the name, organization, and telephone number of each component or organization responsible for providing the information (<u>signature or initials are not required</u>). Where concurrence cannot be obtained, the originator will provide a statement of the reasons why concurrence was not obtained and attach it to this form. If a Privacy Act Statement is required, coordinate with your Privacy Program official (<i>See Note 3</i>).</p> <p>Item 8 - Provide typed name, phone number and signature of project officer.</p> <p>Item 9 - Provide typed name and signature of the requesting organization approving official.</p> <p>Item 10 - The Information Management Control Officer (IMCO) designated for the originating activity indicates coordination and documentation review by signing this block.</p> <p>Item 11 - This block is only for use of OSD/WHS/DIOR/ICD, who will assign an expiration date for each RCS not to exceed three years. All recurring internal information reporting requirements are reviewed at a minimum every three years to assess improvements, cancellations and extensions (<i>See Note 2</i>).</p>
A =Annually	D =Daily	QI =Quintennially														
AR =As Required	M =Monthly	SA =Semiannually														
BI =Biennially	OT =One Time	TRA =Trice Yearly														
BM =Bimonthly	QD =Quadrennially	TRI =Triennially														
BW =Biweekly	Q =Quarterly	W =Weekly														
NOTES																
<ol style="list-style-type: none"> 1. DoDD 8910.1, Management and Control of Information Requirements 2. DoD 8910.1-M, DoD Procedures for Management of Information Requirements 3. DoD 5400.11-R, Department of Defense Privacy Program 																

SD FORM 455 (BACK), MAY 98 (EG)

C5. CHAPTER 5

INTERAGENCY INFORMATION REQUIREMENTS

C5.1. PURPOSE

The purpose of this chapter is to document the procedures required for DoD Components to develop, revise, and cancel interagency reports imposed on other Federal Agencies by the Department of Defense. It also specifies the responsibilities of DoD Components for responding to interagency reporting requirements imposed on DoD by other Federal Agencies. The Interagency Reports Management Program functions to ensure that interagency information requirements are based on need, are cost-effective, and comply with applicable laws and regulations.

C5.2. SCOPE

C5.2.1. This chapter covers the procedures for DoD Components to follow when imposing interagency information requirements on one or more other Federal Agencies.

C5.2.1.1. Interagency information requirements are reviewed and cleared by the GSA and are subject to the provisions of 41 CFR, Subchapter B, Subpart 101-11.204, (reference (j)).

C5.2.1.2. Interagency reports that are also public information requirements require OMB approval in accordance with the provisions of 5 CFR 1320 (reference (c)). Chapter C3. of this Manual, contains procedures for obtaining OMB approval.

C5.2.1.3. Interagency reports that are also OSD internal information requirements require WHS/DIOR approval in accordance with Chapter C4. of this Manual.

C5.2.2. This chapter also covers the responsibilities of DoD Components for responding to information requirements imposed by other Federal Agencies on the Department of Defense and for the development of cost estimates for information requirements imposed by those Agencies.

C5.3. DEFINITIONS

C5.3.1. Interagency Report. Data or information that is transmitted between Federal Agencies 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 other form and may be displayed on paper, magnetic tapes, or other media.

C5.3.2. Interagency Reporting. The process by which data or information for a report transmitted between or among Federal Agencies is collected, organized, transmitted, and retained.

C5.3.3. Interagency Reporting Requirement. Any requirement that involves a report to a Federal Agency from one or more other Federal Agencies covered by the "Federal Records Act of 1950" (reference (z)).

C5.3.4. Interagency Reports Coordinator. The DoD Interagency Reports Coordinator is organizationally assigned to WHS/DIOR and serves as the single DoD liaison official authorized to:

C5.3.4.1. Sign and submit Standard Form (SF) 360, "Request to Approve an Interagency Reporting Requirement";

C5.3.4.2. Respond to requests from requiring Agencies for interagency reports cost estimates; maintain official Agency records on interagency reporting requirements; and

C5.3.4.3. Serve as liaison between Agency components and other Agencies on interagency reporting matters.

C5.3.5. Requiring Agency. An Agency establishing an interagency information requirement.

C5.3.6. Responding Agency. An Agency required to respond to an interagency information requirement.

C5.4. RESPONSIBILITIES

C5.4.1. Requiring Agency Components. DoD Components imposing information requirements on other Federal Agencies shall:

C5.4.1.1. Develop new and revised interagency reporting requirements in accordance with this Manual;

C5.4.1.2. Obtain GSA approval through WHS/DIOR for each new, revised, or extended interagency information requirement prior to implementing the requirement or in cases of urgency, as soon as possible thereafter;

C5.4.1.3. Review DoD 8910.1-L, (reference (p)) to determine if the information requirements of the proposed report can be satisfied by an existing report;

C5.4.1.4. Review existing interagency reports for possible improvements when submitting requests to extend clearances;

C5.4.1.5. Provide responding Agencies the opportunity to comment on each proposed new or revised interagency information requirement;

C5.4.1.6. Obtain GSA approval through WHS/DIOR to collect test information from other Federal Agencies to do a pilot test of the system if the estimated cost for a new or substantially revised information requirement exceeds \$500,000;

C5.4.1.7. Reinstate expired interagency information requirements; and

C5.4.1.8. Cancel interagency reports no longer required.

C5.4.2. Responding Agency Components. DoD Components responding to information requirements from other Federal Agencies shall:

C5.4.2.1. Reply within 30 calendar days to other Agencies' written requests for cost estimates concerning their existing or proposed interagency reports;

C5.4.2.2. Respond to approved interagency information requirements;

C5.4.2.3. Refrain from responding to unlicensed interagency information requirements and inform WHS/DIOR of the solicitation;

C5.4.2.4. Review the GSA "Inventory of Approved Interagency Reports" to determine if the information requirements of the proposed report can be satisfied by an existing report;

C5.4.2.5. Review existing interagency reports for possible improvements

when submitting requests to extend clearances; and

C5.4.2.6. Ensure that personal information, subject to the Privacy Act (reference (o)), is authorized to be released under the special disclosure requirements set forth in DoD 5400.11-R (reference (d)).

C5.5. COVERAGE

C5.5.1. Excluded Organizations. The following organizations are exempt from interagency report control licensing:

C5.5.1.1. Legislative Branch requirements in statutes or Congressional committee requests; and

C5.5.1.2. Judicial Branch requirements in court orders or other judicial determinations.

C5.5.2. Exemptions.

C5.5.2.1. Interagency information requirements for classified information are exempt. However, unclassified interagency information requirements are not exempt, even if such information is later given a security classification by the requesting Agency;

C5.5.2.2. Operating documents routinely exchanged among Federal Agencies;

C5.5.2.3. Presidential requirements in Presidential directives (i.e., Executive Orders);

C5.5.2.4. OMB budgetary, program review and coordination; and legislative clearance requirements; and

C5.5.2.5. The United States Coast Guard by agreement with the Department of Transportation when the Coast Guard is operating as a Military Service of the Department of Defense, whose personnel are included in an approved DoD program and no other Federal Agency is involved.

C5.5.3. Special Circumstances. Questions concerning the applicability of these exclusions and exemptions shall be directed to WHS/DIOR. In many cases, although the information requirement is exempt from interagency licensing procedures, a DoD

internal RCS may be required because information is collected from the DoD Components and forwarded to the requesting organization. Additionally, if DoD Components are requested to provide more information than required by the interagency information requirement, a DoD internal RCS may also be required.

C5.6. PROCEDURES TO LICENSE OR REVISE INTERAGENCY INFORMATION REQUIREMENTS

C5.6.1. Overview. The licensing process involves preliminary discussions with GSA, which should be conducted with the IMCO and the DoD Interagency Reports Coordinator (WHS/DIOR). After any preliminary discussions, the process involves the preparation of a justification statement, collection of cost estimates from responding Agencies, consolidation of cost estimates, and the preparation of a Standard Form (SF) 360, "Request to Approve an Interagency Reporting Requirement." The SF 360, with related documentation, is sent to the DoD Component IMCO, then to WHS/DIOR, and finally to GSA. Figure C5.F1. shows the overall flow of the approval process and the organizations responsible for the various steps in the process.

C5.6.2. Preliminary Action.

C5.6.2.1. Coordinate with IMCO. During coordination of the information requirement with the IMCO, the project officer should request determination of any interagency reports licensing that may be required. If necessary, further discussions with the DoD Interagency Reports Coordinator can be conducted in preparation for submission to GSA.

C5.6.2.2. Discussion with GSA. The Department of Defense, as requiring Agency, shall consult with GSA on proposed new or revised interagency reporting requirements before submitting the SF 360. The OSD Component IMCO and the DoD Interagency Reports Coordinator will participate in the discussion. WHS/DIOR will schedule any meetings or act as an intermediary for conducting discussions by telephone with GSA.

C5.6.3. Waiver Provisions. DoD Components seeking a waiver from justifying and estimating the cost of an information requirement shall send a written explanation of the need for the report and the waiver to WHS/DIOR who will forward the request to GSA. Waiver requests must include a summary cost estimate in item 9 of SF 360.

C5.6.4. Prepare Justification. Following any discussions with the DoD

Interagency Reports Coordinator and GSA, the DoD Component shall justify the need for the report. A justification statement shall be prepared and attached to the SF 360. The justification shall:

C5.6.4.1. State why the report is needed and how it will be used;

C5.6.4.2. Describe the benefits (in dollar value if possible) expected from the information and assess the probability that the benefits will be achieved;

C5.6.4.3. Describe how the program will be affected if the information is not obtained;

C5.6.4.4. Identify any responding Agencies that took part in designing, testing, and estimating the cost of the proposed report;

C5.6.4.5. Identify the agencies that agree or do not agree with the proposed report and summarize the reasons;

C5.6.4.6. Explain how the reporting costs shown on the SF 360 were derived; and

C5.6.4.7. Describe other reporting plans considered, including:

C5.6.4.7.1. Frequency of reporting;

C5.6.4.7.2. Use of exception reporting;

C5.6.4.7.3. Use of sampling techniques;

C5.6.4.7.4. Selection of respondents;

C5.6.4.7.5. Obligation of respondents to comply;

C5.6.4.7.6. Amount of detail;

C5.6.4.7.7. Format of report; and

C5.6.4.7.8. Method of transmission.

C5.6.5. Prepare OF 101, "Summary Worksheet for Estimating Reporting Costs." The DoD Component shall obtain cost estimates from the Federal Agencies who will respond to the proposed information requirement. These Agencies are required to

respond within 30 calendar days. WHS/DIOR can assist the requiring office in this phase by providing the mailing addresses of the appropriate points of contact and, if necessary, follow up with the Federal Agencies. The requiring office will receive a completed OF 101 from each of the responding Agencies. Respondent estimates shall be consolidated into a single OF 101, which includes the costs calculated by the requiring office. Chapter C7. of this Manual provides detailed guidance and examples on how to prepare the cost estimate.

C5.6.6. Prepare SF 360, "Request to Approve an Interagency Reporting Requirement." An SF 360, with supporting documentation, may be submitted electronically to WHS/DIOR. An original signed SF 360 must be forwarded separately until such time as an electronic signature standard has been adopted by the Department of Defense. Figure C5.F2. provides an example of a properly completed SF 360.

The item by item instructions for preparing an SF 360 are as follows:

- Item 1. For GSA Use. Self-explanatory.
- Item 2. Name, Address and ZIP Code of Requesting Agency. Self-explanatory.
- Item 3. Title of Proposed Reporting Requirement. Self-explanatory.
- Item 4. Type of Request. Mark the appropriate box regarding the type of submission.
- Item 5. Frequency of Use. Mark the appropriate box regarding the frequency of the report.
- Item 6. Revisions and Extensions. Self-explanatory.
- Item 7. Law or Regulation(s) Requiring the Report. Self-explanatory. Attach relevant section when required by Public Law or United States Code.
- Item 8. Canceled or Modified Reports or Forms. List by title and Interagency Report Control Number or OMB approval number, reports or forms to be canceled or revised by the report.
- Item 9. Summary of Estimated Reporting Workload. Self-explanatory.

Item 10. Summary of Estimated Reporting Costs. The cost figures for this section are obtained from the OF 101 prepared and summarized by the requiring DoD Component and also obtained from cost estimates prepared by the responding Agencies.

10a. Column 1. This total is obtained from Item 5.f., of the OF 101 prepared by the requiring DoD Component in accordance with Chapter C7. of this Manual.

10a. Column 2. This figure is the total of all costs taken from Item 5.f., “Developmental Costs,” of the cost estimate prepared and submitted by the responding Agencies.

10a. Total Column. Self-explanatory.

10b. Column 2. This figure is the total of all costs obtained from Item 10.f., “Operational Costs” of all cost estimates.

10b. Total Column. Self-explanatory.

10c. Column 1. This figure is obtained from Item 14.f., “User Costs” of the requiring Agency cost estimate.

10d. Totals Columns. Self-explanatory.

Item 11. Remarks. Self-explanatory.

Item 12. OMB Approval. Self-explanatory.

Item 13. Name of Originating Program Official information.
Self-explanatory.

Item 14. Signature of Interagency Reports Coordinator. Self-explanatory.

Items 15 and 16. For GSA’s Interagency Reports Use.

C5.6.7. Clear Through DoD Component Information Management Control Officer. Submit the original SF 360 package through the IMCO who will check it for completeness, duplication, proper coordination, and compliance with GSA requirements agreed to during any initial discussions. In addition, the IMCO will ensure compliance with the following programs.

C5.6.7.1. Privacy Act (reference (o)). If the information requirement requests personal information, coordinate with WHS, Directorate for Correspondence and Directives, Directives and Records Division or other Component Privacy coordinator for a determination on compliance with DoD 5400.11-R (reference (d));

C5.6.7.2. Postal. If the instrument of collection is used as a mailer, follow the procedures in DoD 4525.8-M (reference (v));

C5.6.7.3. Data Administration. If the data being collected are used to support DoD operations and decision-making or in an automated information system that requires horizontal and/or vertical sharing of data, follow the procedures in DoD 8320.1-M (reference (f));

C5.6.7.4. Reports Management Program (Public Information Requirements). If this information is also collected from members of the public, follow the procedures in Chapter C3. of this Manual;

C5.6.7.5. Reports Management Program (Internal Information Requirements). If this information is also collected within your organization, follow the procedures in Chapter C4. of this Manual; and

C5.6.7.6. Forms Management Program. If the instrument of collection should be controlled as a form, follow the procedures in DoD 7750.7-M (reference (e));

C5.6.8. Submission to WHS/DIOR.

C5.6.8.1. Reports Management Criteria. The DoD Interagency Reports Coordinator reviews all SF 360s before they are submitted to GSA. They are checked for completeness, coordination with responding Agencies, duplicate reporting, and cost-effectiveness. If there is a problem with the submission, the DoD Interagency Reports Coordinator will contact the Component IMCO submitting the package and try to resolve any problems. If a problem cannot be resolved by informal means, then the package is returned with a written explanation. The specific items checked are:

C5.6.8.1.1. Original SF 360 is submitted;

C5.6.8.1.2. SF 360 is complete and correct;

C5.6.8.1.3. OF 101 is complete and correct; and

C5.6.8.1.4. Justification is adequate.

C5.6.8.2. Privacy Act (reference (o)). WHS/DIOR reviews the proposed information collection for compliance with DoD 5400.11-R (reference (d)).

C5.6.8.3. DoD Forms Management Program. WHS/DIOR reviews the proposed information requirement to determine if the instrument of collection should be controlled as a form in accordance with DoD 7750.7-M (reference (e)).

C5.6.8.4. DoD Data Administration Program. DoD 8320.1-M (reference (f)) provides procedures for implementing the DoD Data Administration Program. It also contains procedures for identifying, standardizing, collecting, distributing, using, and disposing of DoD data.

C5.6.9. Submission to GSA. Upon approval, WHS/DIOR will submit the original SF 360, along with the supporting documentation, to GSA.

C5.6.10. Approval/Disapproval. Upon receipt, GSA will review the proposal for demonstrated need, cost-effectiveness, and coordination with other clearance authorities, and will ensure that the report does not duplicate existing interagency reports. GSA will assign an interagency report control number and an expiration date, return the SF 360 to the DoD Interagency Reports Coordinator, and enter the report into the GSA "Inventory of Approved Interagency Reports." If GSA rejects an Agency's request for a report, GSA will advise the Agency, in writing, of the reasons for the rejection.

C5.6.11. Appeal Provisions. There are no appeal provisions provided for in any of the implementing regulations from GSA. If a Component wants to appeal the GSA decision, the project officer, the IMCO, and WHS/DIOR should meet to determine the best approach for the Department of Defense to obtain a favorable decision.

C5.6.12. Notification of Approval to Responding Agencies. The requiring Agency's requesting organization shall notify each responding Agency of an approved interagency reporting requirement. WHS/DIOR will add a report profile database record into the DoD inventory of interagency reports.

C5.6.13. Submission of Issuance to GSA. DoD Components shall furnish a copy of the implementing directive, instruction, or correspondence to WHS/DIOR for the official file. A copy will be forwarded to GSA by WHS/DIOR, if required.

C5.7. PROCEDURES TO EXTEND AN INTERAGENCY INFORMATION REQUIREMENT

GSA will notify Federal Agencies 90 calendar days in advance of the expiration date of an information requirement. Agencies shall submit requests for extension at least 60 calendar days before the expiration date. DoD Components shall submit their requests for extension to WHS/DIOR not later than one week before the GSA 60 day deadline.

C5.8. PROCEDURES TO CANCEL AN INTERAGENCY INFORMATION REQUIREMENT

If an interagency report is no longer needed, the requiring DoD Component shall notify GSA through the DoD Interagency Reports Coordinator and notify the responding Agencies by formal correspondence. **GSA will discontinue the requirement on the expiration date unless a request for extension is received.**

C5.9. INTERAGENCY REPORT INVENTORY

C5.9.1. Overview. WHS/DIOR maintains an inventory of interagency reports, which includes data such as the interagency report control number, report title, requesting agency, authority, respondents, form numbers, estimated cost, and other data. This database is used to publish DoD 8910.1-L (reference (p)), which is used to screen proposed information collections for duplication, to perform workload assessments, to support IRM reviews, and for general reports management activities.

C5.9.2. GSA Publication. GSA publishes the "Inventory of Approved Interagency Reports" on an annual basis. WHS/DIOR reviews this publication for new, revised, and canceled interagency reports and makes changes to the WHS/DIOR interagency reports data base.

C5.9.3. Output Reports.

C5.9.3.1. Monthly Reports to the IMCOs. Every month, WHS/DIOR sends a report to the DoD Component IMCOs, which provides the latest status of interagency reports control at the DoD level. Although WHS/DIOR receives annual information from GSA on the interagency reports, monthly reporting reflects DoD interagency

reports that have been added, revised, canceled, have expired or will be expiring in the next 90 days.

Figure C5.F1. DoD Procedures to License Interagency Reporting

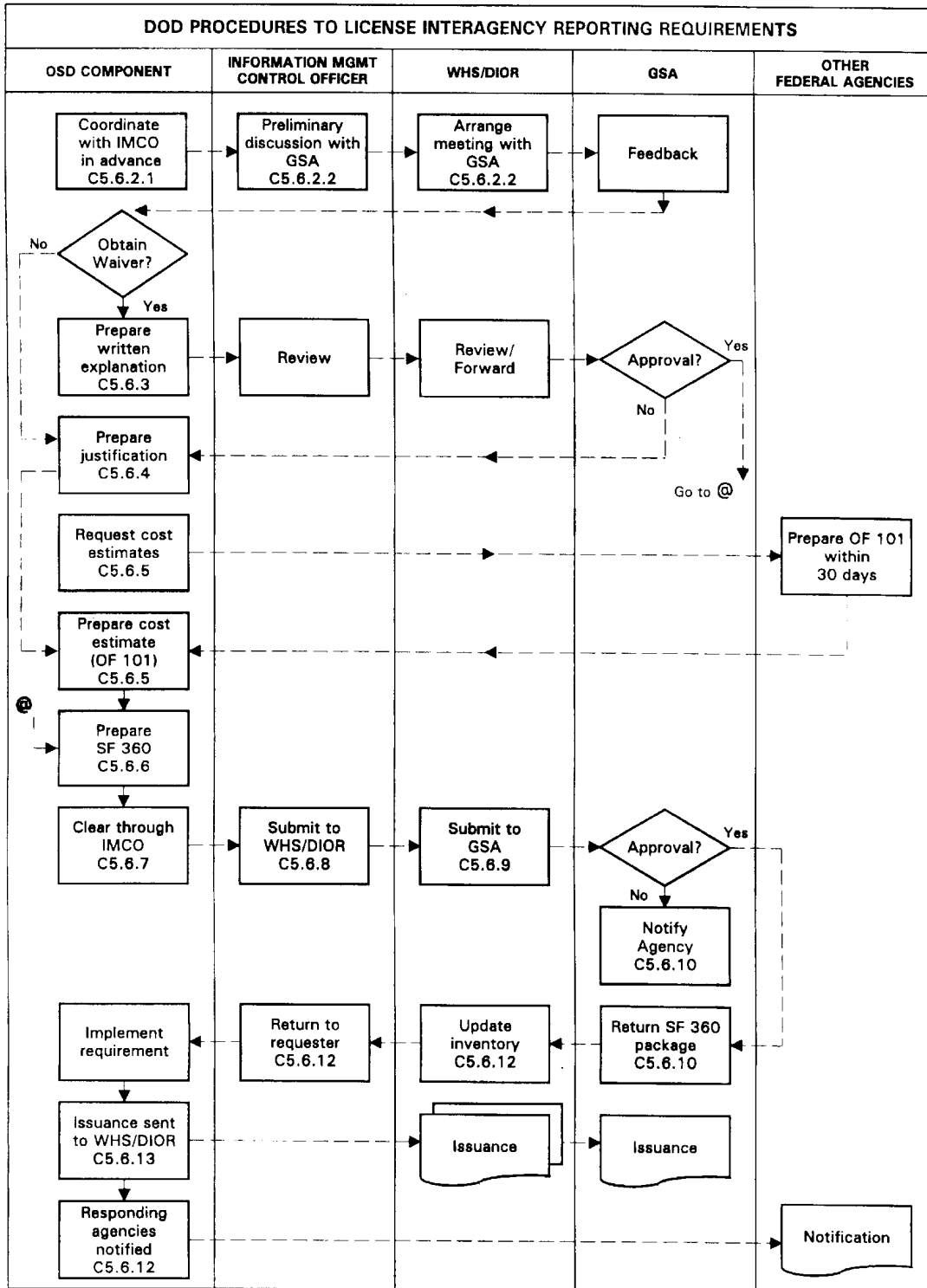


Figure C5.F2. Standard Form 360, "Request to Approve an Interagency Reporting Requirement" - Sample

REQUEST TO APPROVE AN INTERAGENCY REPORTING REQUIREMENT		FOR GSA'S INTERAGENCY REPORTS USE			
INSTRUCTIONS: Submit an original and one copy of the proposed report, the supporting directive, and a justification statement to GSA (KMAS), Washington, D.C. 20405. See FIRM (41 CFR) 201-45.6 for further instructions. NOTE: For approved reports, the interagency control number must appear in the directive requiring the report. If a form is needed to collect data, the agency must place the report control number in the upper right corner of the form. Consult with the interagency reports staff before submitting this form for clearance of a new interagency reporting requirement.		1a. REPORT CONTROL NO.			
2. NAME, ADDRESS, AND ZIP CODE OF REQUESTING AGENCY		1b. EXPIRATION DATE			
Department of Defense Washington Headquarters Services Directorate for Information Operations and Reports 1215 Jefferson Davis Highway, Suite #1204 Arlington, VA 22202-4302		3. TITLE OF REPORT Licensing Interagency Reporting Requirements			
4. TYPE OF REQUEST		5. FREQUENCY OF USE		6. REVISIONS AND EXTENSIONS	
<input checked="" type="checkbox"/> a. NEW <input type="checkbox"/> b. EXTENSION (No change) <input type="checkbox"/> c. REVISION <input type="checkbox"/> d. REINSTATEMENT <input type="checkbox"/> e. WAIVER		<input type="checkbox"/> a. ONCE ONLY <input type="checkbox"/> b. ON OCCASION <input type="checkbox"/> c. WEEKLY <input type="checkbox"/> d. MONTHLY <input type="checkbox"/> e. QUARTERLY		<input type="checkbox"/> f. SEMIANNUALLY <input checked="" type="checkbox"/> g. ANNUALLY <input type="checkbox"/> h. BIENNIALY	
				6a. INTERAGENCY REPORT CONTROL NO.	
				6b. EXPIRATION DATE	
7. LAW OR REGULATION(S) REQUIRING THIS REPORT Title 41, CFR, Subchapter B, Subpart 101-11.204, "Interagency Reports Management Program"					
8. CANCELED OR MODIFIED REPORTS OR FORMS (List by title and Interagency Report Control or OMB approval number, reports and forms to be canceled or modified by the report.)					
9. SUMMARY OF ESTIMATED REPORTING WORKLOAD		10. SUMMARY OF ESTIMATED REPORTING COSTS	REQUIRING AGENCY (1)	RESPONDING AGENCIES (2)	TOTAL (1 + 2)
A. NO. OF RESPONDING AGENCIES		A. DEVELOPMENTAL COSTS	\$	\$ 50,689	\$ 50,689
B. NO. OF TIMES THIS REPORT IS TO BE SUBMITTED YEARLY BY EACH RESPONDING AGENCY		B. ANNUAL OPERATING COSTS		51,616	51,616
		C. ANNUAL USER COSTS	2,937		2,937
C. TOTAL NO. OF REPORTS SUBMITTED ANNUALLY (A x B)		D. TOTAL	\$ 2,937	\$ 102,305	\$ 105,241
11. REMARKS The General Services Administration manages the Interagency Reports Management Program to ensure that interagency reports and recordkeeping requirements are based on need, are cost-effective, and comply with applicable laws and regulations. Each agency shall: (i) Obtain GSA approval for each new, revised, or extended interagency report, prior to implementing the report; (ii) Designate an agency-level interagency reports liaison representative and alternate, and notify GSA in writing of such designees' names, titles, mailing addresses, and telephone numbers within 30 days of the designation or redesignation; (iii) Use Standard Form (SF) 360, "Request to Approve an Interagency Reporting Requirement," to obtain GSA approval for each new, revised, or extended interagency report; (iv) Attach to each SF 360, a justification statement (signed by the official who requested the report) describing the need for the report; (v) Explain how the reporting costs shown on SF 360 were derived; (vi) Make supporting documentation for cost estimates available for GSA review; (vii) Submit to GSA and OMB simultaneously for approval, interagency reports that collect information from (continued)					
12. OMB APPROVAL (Complete only if report requires OMB approval).					
a. REQUEST SUBMITTED TO OMB		b. OMB APPROVAL NO. (if any)	c. DATE SUBMITTED	d. EXPIRATION DATE	
<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO					
13a. NAME OF ORIGINATING PROGRAM OFFICIAL I. M. Official Director, Program Official's Organization			13b. TELEPHONE NO. (123) 456-7890	13c. DATE 3/1/1997	
14a. SIGNATURE OF INTERAGENCY REPORT COORDINATOR [Signed by the Interagency Report Coordinator (WHS/DIOR)]			14b. DATE 4/1/1997		
FOR GSA'S INTERAGENCY REPORTS USE					
15. DISPOSITION OF REQUEST BY GSA					
<input type="checkbox"/> a. APPROVED		<input type="checkbox"/> b. RECOMMENDED MODIFICATION (See attachment)		<input type="checkbox"/> c. DISAPPROVED (See attachment)	
				<input type="checkbox"/> d. NO CLEARANCE REQUIRED	
16a. SIGNATURE OF INTERAGENCY REPORT MANAGEMENT OFFICER				16b. DATE	
AUTHORIZED FOR LOCAL REPRODUCTION Previous edition not usable.		Designed using Perform Pro, WHS/DIOR, Jan 98		STANDARD FORM 360 (EG) (REV. 12-88) Prescribed by GSA - FIRM (41 CFR) 201-45.6	

C6. CHAPTER 6

CONGRESSIONAL INFORMATION REQUIREMENTS

C6.1. PURPOSE

The purpose of this chapter is to provide the necessary guidance for periodic reviews of existing Congressional information requirements. DoD Components may recommend the termination of requirements for reports that no longer serve their intended purpose, no Congressional use is evident, the information is available to the Congress from other sources, the cost and time involved in preparing the report outweighs the benefits, or the information requirement has been completed but not administratively removed from the requiring legislation.

C6.2. SCOPE

This chapter documents the procedures for recommending termination of recurring information requirements including reports, certifications and notifications imposed by the Congress on the DoD Components. These requirements are predominately contained in, but not limited to, the DoD Military Construction, Authorizations and Appropriations Acts. Annually, OUSD(C) notifies the responding DoD Components of the information requirements contained in these Acts in accordance with DoD Directive 5545.2 (reference (aa)).

C6.3. EXEMPTIONS

The following types of Congressional information requirements are exempt from the review and termination procedures of this chapter:

C6.3.1. House and Senate Conference reports that accompany the annual Authorizations, Appropriations and Military Construction Acts; and

C6.3.2. One-time information requirements.

C6.4. RESPONSIBILITIES

C6.4.1. DoD Components. In response to requests for recommendations for termination of Congressional information requirements, DoD Component program

managers, in coordination with their legislative liaison staff, shall:

C6.4.1.1. Review their Congressional information requirements and identify reports which meet one or more of the following criteria:

C6.4.1.1.1. No longer serve their intended purpose;

C6.4.1.1.2. No Congressional use is evident;

C6.4.1.1.3. Provide information which is available to the Congress from other sources;

C6.4.1.1.4. Outweigh the perceived benefits; or

C6.4.1.1.5. Have been completed but not administratively removed from the requiring legislation.

C6.4.1.2. Prepare recommendations to terminate the requirement for submission of reports, certifications or notifications that meet one or more criteria listed in C6.4.1.1., above.

C6.4.1.3. Coordinate with WHS/DIOR to ensure that recommendations for termination of Congressional information requirements are appropriately justified.

C6.4.2. WHS/DIOR shall:

C6.4.2.1. Respond to requests for DoD recommendations for termination of recurring Congressional reporting, notification and certification requirements as requested by the Congress and OMB;

C6.4.2.2. Establish and maintain an inventory of Congressional information requirements to include, but not limited to, a unique identifying record number, the requiring legislation (Public Law and Section or Title and Section of the United States Code), report title and description, responsible DoD Component, frequency, sunset or expiration date, point of contact and review information;

C6.4.2.3. Publish a comprehensive listing of recurring Congressional information requirements on the Internet and provide ad hoc reports to DoD Components on request;

C6.4.2.4. Reconcile the inventory of Congressional information requirements

with the National Defense Authorizations, Appropriations, and Military Construction Acts for that fiscal year and the Committee on National Security committee prints entitled “Title 10, United States Code, Armed Forces” and “Compilation of Defense-Related Federal Laws (Other Than Title 10, United States Code)” not less frequently than annually;

C6.4.2.5. Consolidate DoD Component recommendations for termination;
and

C6.4.2.6. Coordinate with the Department of Defense Office of General Council; Office of the Inspector General, and the Office of the Assistant Secretary of Defense (Legislative Affairs) (OASD(LA)), as appropriate, to:

C6.4.2.6.1. Obtain review and approval of justifications for termination of each Congressional information requirement so recommended;

C6.4.2.6.2. Verify legislation requiring the report; and

C6.4.2.6.3. Coordinate on appropriate repeal or amendment language for submission to the Congress.

C7. CHAPTER 7

COST ESTIMATING PROCEDURES

C7.1. OVERVIEW

C7.1.1. General.

C7.1.1.1. As previously stated, the objectives of reports management are to ensure that needed information is provided to Agency officials at the right time, in the best format, and at the lowest possible cost. As in managing any project, it is necessary to know the costs associated with an information requirement.

C7.1.1.2. Management needs cost estimate information to determine if the expected value of the information is worth the cost of collecting it. The costing methods provided in this chapter are used to compute the costs for the collection of information. They are used for estimating DoD internal, interagency, and public information requirements.

C7.1.1.3. Each Component shall maintain supporting documentation and cost estimating worksheets for all information requirements. Supporting documentation and worksheets for all cost estimates must be available for GSA review. GSA review may include the appropriateness of the costing method selected by the Agency. Information requirement cost data shall be updated every three years upon reinstatement of the information requirement or whenever a substantial change in the information requirement occurs.

C7.1.2. Scope. The costing methods defined in this chapter apply to DoD costs associated with satisfying DoD public information, DoD internal and interagency requirements. These methods describe the preparation of routine cost estimates only. Full cost/benefit analyses are not addressed in this Manual.

C7.2. COSTING ALTERNATIVES

Cost estimates are needed for management to determine if the expected value of the information is worth the cost of obtaining it. OSD Components shall select the most appropriate costing alternative and costing method for preparation of the reporting cost estimates.

C7.2.1. Pilot Testing. Pilot testing estimates are based on actual costs collected. Pilot testing estimates shall be used for high-cost reporting networks, full-scale automated systems, databases containing a large number of data elements, new data collection systems, or when respondent costs are needed for budget purposes.

C7.2.2. Factoring. Factoring estimates are based on actual costs previously collected for a comparable report. Factoring estimates shall be used when there is medium to low-cost reporting, the estimate is based on a revision to or reinstatement of a previously estimated report, there is a high degree of experience with comparable reports made by the same (one or a limited number) of responding Agencies, or the costs are easily compared with actual costs for a similar information collection by an experienced estimator.

C7.2.3. Sampling. Sampling estimates are based on a representative selection of responding Agencies. Sampling shall be used when there is low to high-cost reporting, a large number of respondents, or new reports.

C7.2.4. Technical Estimates. Technical estimates are estimates based on experience. Technical estimates shall be used when there is low-cost reporting, more detailed costing waived by GSA, one-time reports, or a limited number of respondents.

C7.3. COSTING ACCURACY

C7.3.1. The importance of the cost estimate to management shall have a direct relation to the degree of accuracy required in preparing the estimate.

C7.3.2. Management normally is more concerned with the accuracy of cost estimates in the case of a high-cost, recurring report than in the case of a relatively low-cost, one-time report. When the benefits of a report are not clearly and substantially greater than probable costs, greater precision is necessary in order to permit a valid cost to benefit evaluation.

C7.4. COSTING METHODS

C7.4.1. Routine Cost Estimate. DoD public information, internal, and interagency information requirements require cost estimates to be prepared using the appropriate costing alternatives and accuracy levels described in the previous two sections. The procedures of this chapter address the preparation of routine cost

estimates.

C7.4.2. Full Cost/Benefit Analysis. If an information collection or system is considered to be "major" by the CIO or Representative of the DoD Component sponsoring the reporting activity, a full cost/benefit analysis, instead of a routine cost estimate, is required. DoD Instruction 7041.3 (reference (ab)), or other appropriate guidance, shall be followed in the development of the full cost/benefit analysis. The procedures for performing these analyses are quite broad, vary considerably among components, and are not covered in this Manual.

C7.5. EXCLUDED COSTS

There are two kinds of costs that should be excluded when estimating the costs of a reporting system:

C7.5.1. Feeder reports when the feeder can exist without the reporting system; and

C7.5.2. Reports that are integral to an organization's function and that would continue if the reporting requirement did not exist.

C7.6. COST ESTIMATING PROCEDURES

The steps required to develop a cost estimate are as follows:

C7.6.1. Use Optional Form (OF) 101, "Summary Worksheet for Estimating Reporting Costs," (See figure C7.F1.) to consolidate the cost data.

C7.6.2. Collect the cost data using one or more of the costing alternatives described in paragraph C7.2., above.

C7.6.3. Group the cost data by the following reporting activities (developmental, operational, and user). Occasionally, not all of these activities will apply and in some cases additional activities may be necessary.

C7.6.3.1. Developmental activity is work on new reports or modification of existing reports. Modifications made to feeder reports should be included in the developmental costs.

C7.6.3.2. Operational activity is on-going work, such as data collection, processing, and transmission.

C7.6.3.3. User activity is work performed by the office that imposed the information requirement. It includes activities such as reviewing, refining, analyzing, and documenting.

C7.6.4. Categorize the cost data by the following types of resources used (direct personnel costs; overhead costs; direct equipment, materials and supplies costs; and other direct costs). Explanations for each are as follows:

C7.6.4.1. Direct personnel costs are the costs of labor used in the reporting activity plus the cost of fringe benefits. Labor cost is computed by multiplying the hourly rate of the personnel doing the job by the number of hours on the activity. To determine the hourly rate, divide the employee's annual salary by 2,087 which is the standard number of working hours in a year. Fringe benefit costs are computed by multiplying a fringe benefit factor by the cost of labor. A fringe benefit factor can be provided by the component's budget office. Alternatively, a factor of 0.26 (26 percent) may be used.

C7.6.4.2. Overhead costs are the direct personnel costs multiplied by an overhead rate for the office. This rate typically runs from 25 to 100 percent. If the overhead rate is known, it may be used directly, and paragraph C7.7.2., below applies. Otherwise, the overhead rate should be computed as follows:

C7.6.4.2.1. Compute the total overhead (i.e., indirect cost) by summing the cost of salaries and fringe benefits for supervisory, clerical, and technical personnel, supplies, space, utilities, telephone, and other common items. Ensure that only those costs which apply to internal organizational activities (i.e., overhead operations) are included and not production activities. Do not include in this computation that portion of supervisory, clerical, and personnel salaries and fringe benefits that are involved in the direct production (direct costs).

C7.6.4.2.2. Compute the direct mission cost by subtracting the total overhead cost from the office's total annual budget.

C7.6.4.2.3. Compute the overhead rate by dividing the total overhead cost by the direct mission cost. For example, if the overhead cost including salaries, fringe benefits, supplies, space and utilities is \$100,000 and the office's annual budget is \$250,000, then the mission cost is the annual budget less the overhead cost which is \$150,000. The overhead rate then would be the total overhead cost divided by the direct mission cost ($\$100,000/\$150,000$) resulting in an overhead rate of 0.67. If the

total direct personnel cost for this reporting activity is \$10,000, then the overhead for this reporting activity cost would be \$6,700 ($\$10,000 \times 0.67$).

C7.6.4.3. Direct equipment, material, and supply costs include the actual cost of equipment directly applied to the information requirement and all associated material and supply costs which can be attributed directly to the requirement.

C7.6.4.3.1. Equipment costs include acquisition, maintenance, transportation, and installation. To compute the equipment costs, prorate its actual cost over all its uses and amortize this cost over the equipment's life expectancy. For example, if a computer costs \$100,000 and 10 percent of the time it is used for the information requirement at hand, the prorated cost would be \$10,000. Assuming the expected life of the computer is five years, for example, the annual amortized cost would be \$2,000.

C7.6.4.3.2. Direct material and supply costs are the actual costs of these items used for the information requirement being estimated. Examples are paper, ribbons, forms, and other items.

C7.6.4.4. Other direct costs are costs other than direct equipment, material, and supply costs. These costs consist of purchased services or activities for which fees are charged. Enter the cost information on the OF 101 and calculate the developmental costs (Item 5(f)), Operational Costs for One Report (Item 9(f)), Annual Operational Costs (Item 10(f)), User Costs for One Report (Item 13(f)), and Annual User Costs (Item 14(f)).

C7.7. SAMPLE COST ESTIMATE

The purpose of this section is to present a complete example of a cost estimate prepared for a new reporting system. It utilizes the OF 101, "Summary Worksheet for Estimating Reporting Costs," and implements the costing methods described in paragraph C7.4., above. For this example, assume that there is one report per year. If there are four reports per year, for example, the cost elements in "Operational Costs" (Columns (a) through (e) of the OF 101) and "User Costs" (Columns (a) through (e) of the OF 101) are each divided by four.

C7.7.1. Hourly Rate. Given the sample GS grade and salary data as shown below, compute the average hourly labor rate for each GS grade involved in the development of the reporting activity.

<u>GS Grade</u>	<u>Salary</u>	<u>Hourly Rate</u>
13/1	\$51,003	\$24.52
12/1	42,890	20.62
7/1	24,178	11.62

C7.7.2. Direct Personnel Costs (Column (a), OF 101). Using the rates determined in the preceding step, and the estimated labor hours by GS grade to accomplish the development, operational, and user activities associated with the reporting activity, and a fringe benefit factor of 26 percent, compute the direct personnel costs and enter them in the appropriate items under Column (a) of the OF 101.

		<u>Labor</u> <u>Hours</u>		<u>Fringe</u> <u>Benefit</u>		<u>Hourly</u> <u>Rate</u>	=	<u>Total</u> <u>Cost</u>
Developmental Costs								
Specification	GS 13	8 hrs	x	1.26	x	\$24.52	=	\$247.16
	GS 12	1 hr	x	1.26	x	\$20.62	=	\$25.98
								\$273.14
Analysis	GS 13	16 hrs	x	1.26	x	\$24.52	=	\$494.32
Specification	GS 13	8 hrs	x	1.26	x	\$24.52	=	\$247.16
Design	GS 12	16 hrs	x	1.26	x	\$20.62	=	\$415.69
Installation	GS 12	40 hrs	x	1.26	x	\$20.62	=	\$1039.24
Operational Costs								
Data Collection	GS 7	4 hrs	x	1.26	x	\$11.62	=	\$58.56
Data Processing	GS 12	2 hrs	x	1.26	x	\$20.62	=	\$69.22
User Costs								
Analyzing	GS 12	16 hrs	x	1.26	x	\$20.62	=	\$415.69
Presenting	GS 13	40 hrs	x	1.26	x	\$24.52	=	\$1235.80
Documenting	GS 7	8 hrs	x	1.26	x	\$11.62	=	\$117.12
								\$1352.92

C7.7.3. Total Overhead Cost. If an overhead rate for the organizations involved in the reporting activity are not available, one must be computed. The first step in making such a computation is to total all overhead costs. Using the example data below, the total overhead costs are found to be \$1,286,000 as follows:

<u>Items</u>	<u>Overhead Costs</u>
Salary and Fringe Benefits	
Supervisory	\$770,000
Clerical/Technical	180,000
Supplies	145,000
Telephone and Common Items	98,000
Space and Utilities	93,000

Total Overhead Costs	\$1,286,000

C7.7.4. Total Mission Cost. To arrive at mission cost, subtract overhead costs from the budget of the organizations involved in the reporting activity. Using the example data below, the mission cost is found to be \$1,948,000.

Total Budget	\$3,234,000
Total Overhead Cost	-1,286,000

Total Mission Costs	\$1,948,000

C7.7.5. Overall Overhead Rate. The overhead rate would thus be computed as follows: $\$1,286,000/\$1,948,000 = 0.66$

C7.7.6. Specific Overhead Costs (Column (b), OF 101). The overhead calculations for the OF 101 are obtained by taking the direct personnel costs found in paragraph C7.7.2., above, and multiplying them by the overhead rate (0.66 in the example). The calculations are as follows:

<u>Development Cost</u>	<u>Overhead Cost</u>	
Specification	(\$ 273.14 x 0.66)	=\$180.27
Analysis	(\$ 494.32 x 0.66)	=\$326.25
Design	(\$ 415.69 x 0.66)	=\$274.36
Installation	(\$1039.24 x 0.66)	= \$685.90
<u>Operational Cost</u>		
Data Collection	(\$ 58.56 x 0.66)	= \$38.65
Data Processing	(\$ 69.22 x 0.66)	= \$45.69
<u>User Cost</u>		
Analyzing	(\$ 415.69 x 0.66)	= \$274.36
Presenting	(\$ 235.80 x 0.66)	= \$815.63
Documenting	(\$ 117.12 x 0.66)	= \$77.30
		\$892.93

These figures can now be entered into Column (b) of the OF 101.

C7.7.7. Direct Equipment Costs (Column (c) of OF 101). Assume there is a computer with associated peripherals that will be used 20 percent of the total available time on the machine during the development of the reporting system that will take less than one year to accomplish. During the operational phase of reporting, 10 percent of the total time available on the computer shall be used by the reporting activity being estimated on the OF 101. The equipment was purchased for \$95,000 two years ago, has three years of useful life remaining, and has \$1,000 annual maintenance costs. Compute the equipment costs as follows:

Annual Amortized Computer Cost = \$95,000 / 5	= \$19,000
Annual Computer Maintenance	= \$1,000
	= \$20,000
Total Annual Computer Cost	= \$20,000
Prorated Cost of Development = \$20,000 x .2	= \$4,000
Prorated Cost of Development = \$20,000 x .1	= \$2,000

The entry would be \$4,000 in Item 4(c) of the OF 101 and \$2,000 in Item 7(c).

C7.7.8. Direct Material Costs (Column (d), OF 101). Assume that \$1,000 worth of pre-printed forms must be purchased each year to accomplish the data collection. Enter \$1,000 in Item 6(d) of the OF 101.

C7.7.9. Other Direct Costs (Column (e), OF 101). Assume that a contractor was hired to do the design and installation of the reporting system and these costs were \$67,000 and \$43,000, respectively. In addition, a contractor is paid \$48,000 per annum to do the data collection. Enter \$67,000 and \$43,000 in Items 3(e) and 4(e), respectively, and \$48,000 into Item 6(e).

C7.7.10. Final Totals. Determine the total costs in Items 5, 9, and 13 of the OF 101 by adding the appropriate entries in Column (f). Compute Items 10 and 14 by multiplying Items 9 and 13 by the number of reports per year.

C7.7.11. Sample OF 101. A completed OF 101 based on the foregoing example is shown in Figure C7.F1.

C7.8. OTHER METHODS

Any forms, methods, or shortcuts which DoD Components may devise in documenting information requirements are likely to be acceptable routine cost estimates if they adhere to the following standards:

C7.8.1. Developmental, operational, and user costs and related reporting activities are considered;

C7.8.2. Accepted sampling methods are used;

C7.8.3. The full range of resources expended in reporting are included in estimates of reporting costs (i.e., personnel, overhead, materiel, equipment, and others);

C7.8.4. Estimates of reporting costs are based on the resources required to be consumed in the reporting system being estimated rather than upon the net additional resources required by an organization in the reporting;

C7.8.5. Estimates of personnel costs include the salary of an employee's non-productive time as well as their productive time and also includes the costs to the Government for insurance and retirement plans;

C7.8.6. Estimates of the equipment costs of reporting are based on a pro rata share with other uses made of the equipment;

C7.8.7. Certain basic work operations of an organization and certain feeder

reports, while essential to a particular reporting requirement, are independent reports in the sense that they would continue to exist even if the information requirement were to be discontinued. Such independent operations and feeder reports are excluded from the estimated costs of the reporting requirement; and

C7.8.8. Shortcuts for estimating reporting costs may be used to reduce the expense of estimating if they provide an adequate degree of reliability, validity, and accuracy.

Figure C7.F1. OF 101, "Summary Worksheet for Estimating Reporting Costs"--Sample

SUMMARY WORKSHEET FOR ESTIMATING REPORTING COSTS								
REPORT SYMBOL DD-DA&M(AR)0001		REPORT TITLE Documentation and Licensing of Information Requirements of the Department of Defense			ESTIMATE PREPARED BY J. White		DATE 980731	
FACTORS		COSTS (\$)						
REPORTING CATEGORIES	REPORTING ACTIVITIES	DIRECT PERSONNEL (a)	OVERHEAD (.66 % of column (a)) (b)	DIRECT EQUIPMENT (c)	DIRECT MATERIAL (d)	OTHER DIRECT COSTS (e)	TOTAL (a+b+c+d+e) (f)	
DEVELOPMENTAL COSTS	1. Specification of Reporting Requirement	273.14	180.27	0.00	0.00	0.00	453.41	
	2. Analysis of Reporting Requirement	494.32	326.25	0.00	0.00	0.00	820.57	
	3. Design of Reporting System	415.69	274.36	0.00	0.00	0.00	690.05	
	4. Installation of Reporting System	1,039.24	685.90	4,000.00	0.00	43,000.00	48,725.14	
	5. DEVELOPMENTAL COSTS	<i>(Add totals in Column f)</i>						50,689.17
OPERATIONAL COSTS	6. Data Collection	58.56	38.65	0.00	1,000.00	48,000.00	49,097.21	
	7. Data Processing	69.22	45.69	2,000.00	0.00	0.00	2,114.91	
	8. Data Transmission	0.00	0.00	0.00	0.00	0.00	0.00	
	9. OPERATIONAL COSTS FOR ONE REPORT	<i>(Add totals in Column f)</i>						51,212.11
	10. ANNUAL OPERATIONAL COSTS	<i>(Costs for one report multiplied by frequency per year)</i>						51,615.86
USER COSTS	11. Refining, Interpreting, and Analyzing Information Received	415.69	274.36	0.00	0.00	0.00	690.05	
	12. Reading, Reviewing, Discussing, and Documenting Information Presented	1,352.92	892.93	0.00	0.00	0.00	2,245.85	
	13. USER COSTS FOR ONE REPORT	<i>(Add totals in Column f)</i>						2,935.89
	14. ANNUAL USER COSTS	<i>(Costs for one report multiplied by frequency per year)</i>						2,936.54

NOTE: (Estimates of reporting costs should be prepared in accordance with GUIDE TO ESTIMATING REPORTING COSTS which is issued by GSA/NARS/NR)

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