8910.1-M

DoD [redacted]

Department of Defense

Assistant Secretary of Defense for Command
Control, Communications, and Intelligence
(703)746-7935

DOD PROCEDURES FOR MANAGEMENT OF INFORMATION REQUIREMENTS

November 1986

Assistant Secretary of Defense (Comptroller)

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This Manual guides action officers who need to establish reports or obtain information from the public, other Federal agencies, or DoD Components and provides them with the necessary information to license their information requirements. In addition, it contains information to assist program managers in the operation of their reports management programs.

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WASHINGTON, DC 20301-1100

COMPTROLLER

DoD 7750.5-M

November 28, 1986

FOREWORD

This Manual is issued under the authority of DoD Directive 7750.5, "Management and Control of Information Requirements," August 7, 1986. It guides action officers who need to establish reports or obtain information from the public, other Federal agencies, or DoD Components and provides them with the necessary information to license their information requirements. In addition, it contains information to assist program managers in the operation of their reports management programs.

The provisions of this Manual apply to the Office of the Secretary of Defense (OSD) and DoD field activities, the Military Departments (including the National Guard and Reserve Components), the Organization of the Joint Chiefs of Staff (OJCS), and the Defense Agencies, (Hereafter called "DoD Components").

This Manual is effective immediately, and is mandatory for use by all DoD Components.

Send recommended changes to this Manual through channels to:

Washington Headquarters Services
Directorate for Information Operations and Reports
1215 Jefferson Davis Highway, Suite 1204
Arlington, Virginia 22202-4302

DoD Components may obtain copies of this Manual through their own publications channels. Other Federal agencies and the public may obtain copies from National Technical Information Service, U.S. Department of Commerce, 5285 Port Royal Road, Springfield, Virginia, 22151.

Robert W. Helm

Robert W. Helm

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REFERENCES

(a) DoD Directive 7750.5, "Management and Control of Information Requirements," August 7, 1986.

(b) Federal Information Resources Management Regulation, Part 201-45, June 28, 1985 (Title 41, Code of Federal Regulations, Chapter 201)

(c) DoD 7750.5-L, "Listing of Approved Recurring Information Requirements," Semi-annual listing

(d) DoD Instruction 1100.13, "Surveys of Department of Defense Personnel," November 9, 1978

(e) Public Law 96-511, "Paperwork Reduction Act of 1980," December 11, 1980

(f) Title 5, Code of Federal Regulations, Section 1320

(g) FY 1986 Defense Authorization Act, Section 804, "Surveys of Military Families," November 8, 1985

(h) Anti-Trust Civil Process Act

(i) Public Law 96-252, "Federal Trade Commission Improvements Act of 1980"

(j) Executive Order 12036, Section 4-206, January 24, 1978

(k) Executive Order 12333, December 4, 1981

(l) Office of Management and Budget Circular A-102, "Uniform Administrative Requirements for Grants-in-Aid to State and Local Governments"

(m) Office of Management and Budget Circular A-110, "Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations"

(n) General Accounting Office OIM-79-3, "GAO General Accounting Office Thesaurus," 1st Edition, November 1978 (GPO Stock No. 020-000-0173-9)

(o) Office of Management and Budget Memorandum to Agency Clearance Officers, "Federal Information Locator System (FILS)," August 27, 1985

(p) DoD 5400.11-R "Department of Defense Privacy Program," August 1983

(q) DoD 5000.21-L, "Listing of Approved Department of Defense (DD) Forms," Semi-annual listing

REFERENCES (Cont'd)

(r) DoD 5000.12-M "DoD Manual for Standard Data Elements," Annual listing

(s) Office of Management and Budget Memorandum, "Cooperation with Federal Education Data Acquisition Council (FEDAC)," April 2, 1982

(t) DoD Directive 5200.26, "Defense Investigative Program," June 12, 1979

(u) DoD Directive 5200.27, "Acquisition of Information Concerning Persons and Organizations not Affiliated with the Department of Defense," January 7, 1980

(v) DoD Directive 7920.1, "Life Cycle Management of Automated Information Systems (AIS)," October 17, 1978

(w) General Services Administration Information Resources Management Handbook, "Reports Management," July 1985, National Stock Number 7610-01-195-9767

(x) DoD Instruction 7041.3, "Economic Analysis and Program Evaluation for Resource Management," October 18, 1972

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A. INTRODUCTION

1. Purpose

The purpose of this Manual is to prescribe procedures which implement the policy for the management and control of information requirements of DoD Directive 7750.5, "Management and Control of Information Requirements," (reference (a)). It provides step by step instructions for the user to develop the necessary documentation to obtain approval for establishment, revision, or cancellation of information requirements for the Department of Defense.

2. Scope

a. This Manual covers the procedures for the establishment of new information requirements and the modification or cancellation of existing ones. These information requirements include all internal DoD, interagency, and public reporting requirements and the processes and systems necessary to support them. 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.

b. This Manual applies to the Office of Secretary of Defense OSD) and DoD Field Activities, the Military Departments including the National Guard and Reserve Components, the Organization of the Joint Chiefs of Staff (OJCS), and the Defense agencies. These organizations are referred to collectively as "DoD Components" throughout this Manual. The Office of Secretary of Defense and DoD field activities are referred to collectively as "OSD Components," in this Manual.

3. Definitions

a. 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 or formats, or reporting or recordkeeping systems, whether manual or automated.

b. Report. Data or information which is transmitted 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, or other media.

c. 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 elicit attitudes, opinions, behavior, and related demographic, social and economic data to identical questions that are to be used for statistical compilations for research and/or policy assessment purposes.

B. GENERAL INFORMATION

1. DoD Reports Management Program

a. General Overview

The effective management of reports requires an organized and continuous effort to improve the quality and economy of reporting to ensure that agency management officials are provided with the exact information needed in the right place, at the right time, and in the format most useful to them for informed decision making.

The reports management function includes the output (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, and DoD internal information requirements.

b. Public Information Requirements

Public information requirements are those which require responses from the public; the term "public-use reports" was used frequently in past years. If there is a reporting requirement which requests information from members of the public, Components shall, unless exempt, obtain an Office of Management and Budget (OMB) control number to license the collection. Members of the public are considered to be individuals, households, private firms, companies, contractors, Federal employees in special circumstances, and others. Section C. covers the procedures to obtain OMB approval to collect information from the public.

c. Interagency Information Requirements

Interagency information requirements are those which involve the exchange of information between and among Federal agencies. If information from one or more Federal agencies is required, Components shall obtain, unless exempt, an interagency report control number (IRCN) which is issued by the General Services Administration GSA). If another Federal agency is requesting information from a Component, that agency must have an IRCN cited on the request for information or the Component is not obligated to respond, unless the collection is exempt. Section D. describes the procedures to license an interagency information requirement.

d. DoD Internal Information Requirements

DoD internal information requirements pertain to information required within DoD for internal management or to report to the Legislative or Judicial branches of the Federal government. OSD Components who need a report from one or more DoD Components, shall obtain, unless exempt, a report control symbol (RCS) from Washington Headquarters Services (WHS) to license that reporting requirement. If a DoD Component, other than OSD, needs information from within its own DoD Component, an RCS from the reports control activity of that organization may be required. Section E. of this Manual covers the procedures for OSD Components to license DoD internal reports only. To license internal reports, other DoD Components shall use internal prescribed procedures which are listed in paragraph E.5.a. of this Manual.

e. Published Listings

(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 is 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. This report is used in the formulation of the upcoming fiscal year Information Collection Budget (ICB).

(2) GSA, Office of Information Resources Management, publishes the "Inventory of Approved Interagency Reports," on a semi-annual basis. This report is required by Subpart 201-45.6 of the Federal Information Resources Management Regulation (reference (b)). It includes a listing of approved interagency reporting requirements by agency and shows the control number, title, prescribing directive, estimated costs, respondents, and expiration date.

(3) WHS, Directorate for Information Operations and Reports (DIOR), publishes the *DoD 7750.5-L (reference (c))* which is required by DoD Directive 7750.5 (reference (a)). It includes listings of active and canceled DoD internal, interagency, and public information collections, and is published on January 31 and July 31 of each year. It also includes a listing of Information Management Control Officers (IMCOs) for each of the DoD and OSD Components.

f. Surveys of DoD Personnel

All surveys requiring the participation of military or civilian personnel in any DoD Component, other than the sponsoring Component, must be approved by the Assistant Secretary of Defense (Force Management and Personnel), who has considerable mission responsibilities in the survey area. These surveys are generally exempt from OMB approval requirements (See paragraphs C.4.c. and C.4.e.) but shall be licensed in accordance with the policies and procedures associated with DoD internal information requirements (See Section E.). The procedures of DoD Instruction 1100.13 (reference (d)) shall be followed prior to submission of military or civilian personnel surveys to WHS/DIOR for final approval.

2. Responsibilities

a. 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 reporting requirements. It is the responsibility of DoD Components to:

(1) NOT RESPOND TO UNLICENSED INFORMATION REQUIREMENTS WHICH ARE NOT EXEMPT.

(2) Establish an information requirements control activity under the Information Resources Management (IRM) Official or Representative as prescribed by DoD Directive 7750.5 and to assign an IMCO to serve as the key point of contact.

(3) Process, assign, and cancel their internal information requirements.

(4) Submit requests for information collections from the public and other Federal agencies to WHS/DIOR.

b. OSD Components

It is the responsibility of OSD Components to:

(1) NOT RESPOND TO UNLICENSED INFORMATION REQUIREMENTS WHICH ARE NOT EXEMPT.

(2) Assign an IMCO to serve as the key point of contact.

(3) Submit requests through the OSD Component IMCO to WHS/DIOR for DoD internal, interagency, and public information requirements.

(4) Establish and implement standards and procedures for initiating, identifying, reviewing, approving, preparing, distributing, and discontinuing internal reporting requirements.

(5) Ensure that issuances containing information requirements are updated in accordance with applicable directives.

(6) Provide for the periodic review of approved reports for need, adequacy, design, and economy of preparation and use.

(7) Establish and implement standards and procedures for designing management information systems, including the design of reports used in those systems.

c. IMCOs

Each DoD and OSD Component shall assign an IMCO. The responsibilities of the IMCO are to:

(1) Serve as a technical advisor to program managers and administrators on matters concerning information requirements.

(2) Review and screen requests for DoD internal, interagency, and public information requirements. DoD Components have their own procedures for their own internal reports and the duties of the IMCOs vary accordingly.

(3) Manage the ICB for their own organizations.

(4) Resolve problems associated with the reports management function relative to their respective organizations and missions.

(5) Maintain records of the information collections under their cognizance.

(6) Participate in internal or DoD-wide reviews of reports and reports management activities.

(7) Distribute approval notices from OMB, GSA, WHS/DIOR, and their respective Headquarters to their appropriate offices.

d. Office of the Assistant Secretary of Defense (Comptroller) (OASD(C))

(1) Policy

OASD(C), Directorate for Information Resources Management Systems (IRMS), is assigned the overall policy for the DoD reports management program and is responsible for DoD Directive 7750.5 (reference (a)). This office also is responsible for the formulation of the ICB for the Department of Defense.

(2) Operations

Washington Headquarters Services, Directorate for Information Operations and Reports (WHS/DIOR), is responsible for the overall operation of the DoD reports management program and publishes this Manual. This office also is responsible for the execution of the ICB.

C. INFORMATION REQUIREMENTS FROM THE PUBLIC

1. Purpose

The Paperwork Reduction Act of 1980 (reference (e)) and its implementing regulation, 5 CFR 1320 (reference (f)) cover the policy for collecting information from the public and have as their stated purpose:

a. To minimize the Federal paperwork burden on the public and the cost to the Federal government of collecting, maintaining, using, and disseminating information;

b. To maximize the usefulness of the information; and

c. To coordinate Federal information policies and practices.

This section provides the necessary procedures for DoD and OSD Components to establish, revise, and cancel information collections from members of the public. It includes detailed guidance on the preparation of a Standard Form 83, "Request for OMB Review," a supporting statement, and a Federal Register Notice, all of which are required OMB for approval of an information collection from the public.

2. Scope

The Paperwork Reduction Act applies to the executive departments, government corporations, government-controlled corporations, and independent regulatory agencies, except for the General Accounting Office and U.S. territories and possessions. The Act includes a provision that every Federal agency designate a senior agency official, who reports directly to the agency administrator, to be responsible for that agency's compliance with the Paperwork Reduction Act.

Among the provisions of the Act, OMB is responsible for directing and overseeing:

a. Review of information collection requests;

b. Reduction of paperwork burden;

c. Federal statistical activities;

d. Privacy of records;

e. Interagency sharing of information.

This Manual covers the procedures to be used by DoD and OSD Components who need to collect information from the public. These information collections are reviewed by Washington Headquarters Services, Directorate of Information Operations and Reports (WHS/DIOR), and approved or disapproved by OMB. The internal procedures of the DoD Components in this area, up to the time of WHS/DIOR review, are covered in internal directives, instructions, regulations, and publications.

3. Definitions

a. Burden Hours. See Public Burden.

b. Collection of Information. The use of written reports, applications, schedules, questionnaires, reporting or recordkeeping requirements, or other similar methods. 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.

c. DoD Clearance Officer. The individual or office assigned the DoD-wide responsibilities for managing public reporting requirements. The DoD Clearance Officer is organizationally assigned to WHS/DIOR, Information Control Division (ICD).

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

e. Practical Utility. The ability of an agency to use information it collects, particularly the capability to process such information in a timely and useful fashion.

f. Public Burden. The total time, effort, or financial resources required to respond to a collection of information, including that to read or hear instructions; to develop, modify, construct, or assemble any materials or equipment; to conduct tests, inspections, polls, observations, or the like necessary to obtain the information; to organize the information into the requested format; to review its accuracy and the appropriateness of its manner of presentation; and to maintain, disclose, or report the information.

g. Public Collection of Information. The obtaining or soliciting of information by an agency from ten or more persons by means of identical questions, whether such collection of information is mandatory, voluntary, or required to obtain a benefit. For purposes of this definition, the "obtaining or soliciting of information" includes any requirement or request for persons to obtain, maintain, retain, report, or publicly disclose information.

h. Federal Education Program. Any Federal activity with a primary purpose of offering instruction or affecting an educational agency's or institution's ability to offer instruction.

i. General Purpose Statistics. Statistics collected chiefly for public and general government uses, without primary reference to policy or program operations of the agency collecting the information.

4. Coverage

OMB approval is needed to collect information from 10 or more members of the public, unless the collection is exempt. The purpose of this subsection is first to cover who is a member of the public, for purposes of information collection, and second to cover the conditions under which a specific information collection can be exempted.

a. Members of the Public

Members of the public are individuals, partnerships, associations, corporations, (including operations of government owned contractor-operated facilities), business trusts, legal representatives, organized groups of individuals, states, territories, or local governments, or components thereof. Current employees of the Federal government are not members of the public for purposes of the collection of information within the scope of their employment. Military reservists and members of the National Guard are considered Federal employees when on active duty, and for purposes of obtaining information about duty status. Retired and other former Federal employees are members of the public except when Military retirees are surveyed under Section 804 of the FY 1986 Defense Authorization Act (reference (g)).

b. Contractors

DoD does a great deal of business with contractors. For information collection purposes they are members of the public and OMB approval is required to collect information from them.

c. Military Dependents and Retirees

Section 804 of the FY 1986 Defense Authorization Act (reference (g)) states that the Secretary of Defense may conduct surveys of members of the Armed Forces serving on active duty, members of the families of such members, and retired members of the Armed Forces to determine the effectiveness of existing Federal programs relating to military families and the need for new programs. In this context, they shall be considered to be employees of the United States for purposes of section 3502(4)(A) of title 44, United States Code ((The Paperwork Reduction Act of 1980) (reference (e))).

d. Reserve Officer Training Corps (ROTC)

ROTC cadets are considered to be employees of the United States for purposes of section 3502(4)(A) of Title 44, United States Code (reference (e)), when providing information to instructors during classroom and other training activities. ROTC cadets who are under contract may be requested to provide further information, as employees of the United States, provided that the information requested remains entirely within the scope of their employment.

e. Exemptions

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

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

(2) Samples of products or of any other physical objects;

(3) Facts or opinions obtained through direct observation by an employee or agent of the sponsoring agency or through nonstandardized oral communication in connection with such direct observations;

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

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

(6) A request for facts or opinions addressed to a single person;

(7) Examination designed to test the aptitude, abilities, or knowledge of the persons tested and the collection of information for identification or classification in connection with such examinations;

(8) Facts or opinions obtained or solicited at or

in connection with public hearings or meetings;

(9) Facts or opinions obtained or solicited through nonstandardized follow-up questions designed to clarify responses to approved collections of information;

(10) Like items so designated by OMB;

(11) Collections of information from Federal employees within the scope of their employment, unless the results are to be used for general statistical purposes;

(12) Members of the Armed Forces serving on active duty, members of their families, and retired members of the Armed Forces when being surveyed within the context of Section 804 of the FY 1986 Defense Authorization Act;

(13) Information collections from fewer than 10 persons;

(14) Collections of information involving compulsory process pursuant to the Anti-trust Civil Process Act (reference (h)), or Section 13 of the Federal Trade Commission Improvements Act of 1980 (reference (i));

(15) Collections of information required during the conduct of intelligence activities, as defined in Section 4-206 of Executive Order 12036 (reference (j)) or successor orders, including Executive Order 12333 (reference (k)); or during the conduct of cryptologic activities that are communications securities activities; or

(16) Public information collections needed during the conduct of a federal criminal investigation or prosecution, during the disposition of a particular criminal matter, during the conduct of a civil action to which the United States or any official or agency thereof is a party, or during the conduct of an administrative action or investigation involving an agency against specific individuals or entities.

5. ICB

a. Overview

The ICB is an annual allowance for each Federal agency of the total number of burden hours it may 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, and submit information to the Federal government.

Federal agencies prepare ICB requests annually in response to specific direction contained in an OMB Bulletin. These requests contain estimated burden hours for the information collection activities which the agencies want to conduct. Justifications are provided for new collections of information. OMB authorizes a final allowance, which is the maximum number of burden hours that the agency may impose on the public for continuing and new burden items in the next fiscal year.

b. ICB Process

(1) OMB issues an ICB Guidance Bulletin in the third quarter of the current fiscal year. This starts the ICB process for the next fiscal year.

(2) The ICB is an agency's estimate of the total burden of time required by the public to comply with requests for information by that agency. The sum of all agencies' ICBs is the ICB for the Federal government.

(3) After evaluating an agency's proposed ICB, including hearings, OMB will issue a "passback." The passback identifies an upper limit of burden hours to be expended by the entire agency during the fiscal year and recommends areas for burden reduction.

(4) The agency may "appeal" the OMB passback by providing further justification of the agency's position.

(5) OMB transmits a final "allowance" including any changes subsequent to this appeal. The allowance is the maximum number of burden hours that the agency may impose upon the public during that fiscal year.

c. ICB Management

The Office of the Assistant Secretary of Defense, (Comptroller) (OASD(C)), Information Resources Management Systems (IRMS), manages the formulation of the ICB. The steps are generally as follows:

(1) Upon receipt of the annual ICB Bulletin from OMB, the OASD(C), IRMS Directorate provides guidance to the Military Departments, Defense agencies, and OSD Components. The guidance provides a timetable for submission and further instructions to assist them in preparing the required exhibits describing existing and anticipated information collection activities;

(2) DoD and OSD Components review existing exhibits, update them, and create new exhibits for new activities;

(3) IRMS reviews and aggregates DoD and OSD Component exhibits and prepares the DoD ICB;

(4) The senior agency IRM official submits DoD's ICB request to OMB;

(5) OMB reviews the DoD submission;

(6) OMB conducts a hearing, where DoD has the opportunity to explain and defend its ICB request;

(7) OMB submits the passback to the agency, which is the amount tentatively approved for the DoD ICB;

(8) DoD decides whether or not to appeal the passback; and

(9) OMB prepares the final ICB allowance. If DoD has decided to appeal the passback, OMB considers the additional justification in making the final decision.

Additional information on ICB management can be obtained from the current OMB Budget Guidance Bulletin, the DoD or OSD Component Information Management Control Officer (IMCO), or IRMS directly.

d. ICB Compliance Monitoring Quarterly Reports

(1) The DoD and OSD Components submit a quarterly plan with their proposed ICB.

(2) At the end of the first, second, and third quarters, Components update the quarterly plan, report control symbol DD-COMP(Q)1860, to indicate actual performance. The ICB quarterly plan also provides a narrative describing progress made on the initiatives proposed in prior and current ICB exhibits.

(3) WHS/DIOR provides a summary report indicating ICB status based upon the official records maintained in the DIOR inventory of OMB approved information collections (See also subparagraph C.9.d(3).

(4) The IRMS Directorate reviews the quarterly reports for consistency with the quarterly plans and ensures that variations from the plans submitted with the annual ICB are reconciled in a timely manner. A summary report is provided to OMB in accordance with instructions in the annual bulletin.

6. Procedures to License Information Requirements from the Public

a. Overview

(1) The approval of an information collection from the public sector initially involves the preparation of a Standard Form (SF) 83, "Request for OMB Review," package. The package is submitted to the Component IMCO who will assist in preparing the package. It is next sent to WHS/DIOR and finally to OMB for approval or disapproval. During this time, the proposed information collection is announced in the Federal

Register for public comment and OMB keeps the package open for public access and review for a period of 60 days. IF A COLLECTION INSTRUMENT DOES NOT HAVE A CONTROL NUMBER, OR IF THE DATE HAS EXPIRED, THE PUBLIC DOES NOT HAVE TO SUPPLY THE INFORMATION. Furthermore, the public cannot be held subject to any penalties for failing to comply with the information collection request. Figure C-1 shows the overall flow of the approval process and the organizations responsible for the various steps in the process.

(2) Usually, the clearance package is prepared by the program office that requires or will utilize the information, but sometimes the IMCO will do the preparation. A clearance package has two parts:

(a) SF 83. This form (See Figure C-4a and C-4b) is the official application which an agency submits to OMB for clearance for a planned information collection activity. It contains the data elements that OMB needs to evaluate the request; and

(b) Supporting Statement. This is the agency's statutory, regulatory and programmatic justification for the information collection activity.

(3) The following are the key elements of a clearance package. These elements are carefully scrutinized by WHS/DIOR and OMB in their reviews:

(a) Completeness. Every SF 83 package must have an original and 3 copies of the "Request for OMB Review," SF 83, supporting statement, sections of applicable laws and regulations, and if applicable, forms and instructions and survey design documents. It also must have an original and 6 copies of the Federal Register notice .

(b) Practical Utility. The supporting statement must describe the agency's need for the information, as well as its ability to use it.

(c) Elimination of Duplication. The supporting statement must show that information proposed to be collected does not duplicate information already being collected or available elsewhere in the Federal government.

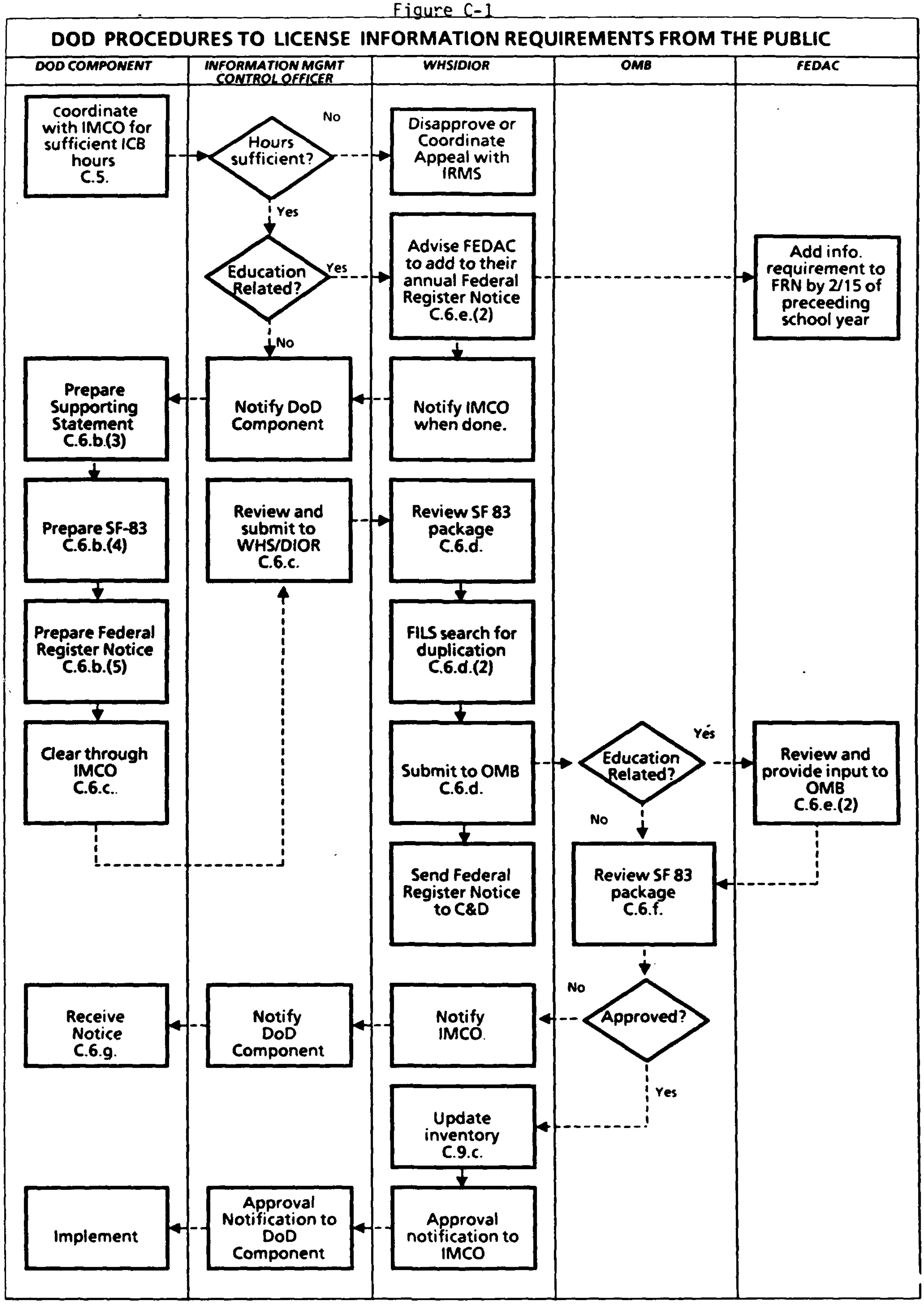
(d) Burden Estimates. The supporting statement must include a thorough explanation of how the burden estimates were derived.

(4) The basic steps in the process are as follows:

Step 1 - Prepare the SF 83 package.

Step 2 - Clear the Component IMCO

Figure C-1


DOD PROCEDURES TO LICENSE INFORMATION REQUIREMENTS FROM THE PUBLIC
DOD COMPONENT
INFORMATION MGMT CONTROL OFFICER
WHSIDIOR
OMB
FEDAC
coordinate with IMCO for sufficient ICB hours C.5.
Hours sufficient?
No
Yes
Disapprove or Coordinate Appeal with IRMS
Education Related?
Yes
No
Advise FEDAC to add to their annual Federal Register Notice C.6.e.(2)
Add info. requirement to FRN by 2/15 of preceeding school year
Prepare Supporting Statement C.6.b.(3)
Notify DoD Component
Notify IMCO when done.
Prepare SF-83 C.6.b.(4)
Review and submit to WHS/DIOR C.6.c.
Review SF 83 package C.6.d.
Prepare Federal Register Notice C.6.b.(5)
FILS search for duplication C.6.d.(2)
Clear through IMCO C.6.c.
Submit to OMB C.6.d.
Education Related?
Yes
No
Review and provide input to OMB C.6.e.(2)
Send Federal Register Notice to C&D
Review SF 83 package C.6.f.
Receive Notice C.6.g.
Notify DoD Component
Notify IMCO.
No
Approved?
Yes
Update inventory C.9.c.
Implement
Approval Notification to DoD Component
Approval notification to IMCO

Step 3 - Submit SF 83 package to WHS/DIOR.

Step 4 - WHS/DIOR reviews and forwards to OMB.

Step 5 - Federal Register notice published.

Step 6 - OMB approves/disapproves.

Step 7 - WHS/DIOR receives OMB Notification.

Step 8 - WHS/DIOR distributes OMB Notification to IMCO

Step 9 - IMCO distributes OMB Notification to sponsor of the information collection.

b. Prepare SF 83 Package

(1) Estimate Burden Hours

Burden is the time, effort, or financial resources expended by the public to provide information to the Federal government. You will need to estimate burden hours in order to prepare ICB profiles for prepared or anticipated information collection activities or to prepare SF 83s for specific information collection activities. The following elements must be addressed when developing estimates of burden hours:

(a) Time to respond which includes the workhours required to read or hear the instructions; develop, modify, construct, monitor, or assemble any materials or equipment necessary to collect and report the data or keep records; process, format, record and report the information; and manage the collection, recording and reporting of the information.

(b) Other factors that need to be considered in estimating burden hours are the number of reports, applications, records and/or forms produced each year; and the number of respondents.

(c) Steps necessary to estimate the burden hours are as follows:

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

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

Step 3 - Determine if information is currently collected, recorded, stored, etc. If so, in what form;

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

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

Step 6 - Conduct informal consultations with a few respondents;

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

Step 8 - If appropriate, use regulatory impact data;

Step 9 - Compute burden hour estimates and reference the basis for the computations;

Step 10 - Determine if the total burden is within reasonable limits;

Step 11 - Finalize burden hour estimates and use them to prepare ICB profiles or information collection requests; and

Step 12 - Consult the Information Management Control Officer for additional information if necessary.

(2) Estimate Internal DoD Cost

The internal costs for DoD to collect, process, transmit and use information collected from the public must be reported. These costs must be developed using the methods prescribed in section F., below, and incorporated into the supporting statement.

(3) Prepare Supporting Statement

A supporting statement must be submitted with each SF 83 as part of the request for approval of an information collection activity. Figure C-2 is the "Supporting Statement Outline" which must be adhered to when completing an SF 83 package. Identify each topic being addressed with the title of the topic in the outline. If a topic does not relate to the information collection request, name the title, state "this section does not apply," and briefly explain why. Figure C-3 is an excellent example of a completed supporting statement prepared by the Air Force which may be useful in preparing supporting statements.

Figure C-2

Supporting Statement Outline

A. JUSTIFICATION

1. Need for the Information Collection

Give a full and detailed explanation of why the Department of Defense needs the information requirement. Identify any legal or administrative requirements that mandate such data collection and include copies of the relevant sections of the statutes, judicial decrees, or regulations.

2. Description and practical Utility of the Information Collection Activity

a. Description

Describe the information collection activity under review. Be as specific as possible and include a brief description of each of the following:

(1) All respondents, DoD decision-makers and information users;

(2) The process the respondents must follow to supply the requested information;

(3) The analysis, storage, and publication of the information on the part of the agency; and

(4) All schedules and methodologies or technologies used in any of the above stages.

b. Practical Utility

Discuss how the agency will use the information to be collected.

3. Minimize Burden

Describe any actions taken by the Department of Defense to minimize the burden on the respondent and any improved technologies considered to reduce burden. This may be done by describing:

a. Activities taken or not taken during the planning stages; or

b. Actual events, hearings, or actual burden reduction;

Figure C-2

Supporting Statement Outline (Cont'd)

4. Non-duplication

Discuss all efforts taken to determine if any other agency/department, or other office within the Department of Defense:

a. Has similar information to the request; or

b. Is planning to request the same kind of information in the future.

5. Consideration of Alternatives

Show specifically why no other data or methods of collection can be used to achieve the stated purpose.

6. Minimizing of Burden for Small Business

If any of the respondents are small businesses, discuss special efforts taken by DoD to minimize the information burden imposed by the request, and all steps to develop separate and simplified requirements.

7. Consideration of Collection

Describe the consequences to the Federal program or policy activities if the collection were conducted less frequently.

8. Paperwork Reduction Act Guidelines

If any Paperwork Reduction Act imposed guidelines contained in 5 CFR 1320.6 (reference (f)) must be exceeded, discuss the special circumstances that make this necessary. Thoroughly justify any of the following, if applicable:

a. Requiring respondents to report information to the Department of Defense more often than quarterly;

b. Requiring respondents to prepare a written response to an information collection request or requirement in fewer than 30 days after receipt of it;

c. Requiring respondents to submit more than an original and two copies of any document;

d. Requiring grantees to submit or maintain information other than that required under OMB Circulars A-102 and A-110 (references (l) and (m)).;

e. Providing for remuneration of respondents, other than contractors or grantees;

f. Requiring respondents to retain records, other than health, medical, or tax records, for more than three years;

g. Utilizing a statistical survey that is not designed to produce data that can be generalized to the universe of study;

h. Requiring respondents to submit proprietary, trade secret, or other confidential information unless the agency can demonstrate that it has instituted procedures to protect its confidentiality to the extent permitted by law; and

i. Requiring respondents to maintain or provide information in a format other than that in which the information is customarily maintained.

9. Consultants

Give the name of non-DoD persons who were consulted on any aspect of the collection activity and indicate their agency, company, or organization/affiliation. Describe other public contacts or opportunities provided for public contacts or opportunities provided for public comment and a summary of the comments received. Summarize any major problems on which agreement could not be reached. When the project involves state or local governments, provide evidence on consultation with officials of such governments or organizations such as the Council of State Governments, or the International City Management Association.

10. Confidentiality

Describe the extent of confidentiality in the information request, the protection provided against a disclosure of information from individual returns, and the arrangements for disposing of completed report forms. This includes all arrangements for handling, storing, and disposing of information containing personal or organizational identifiers.

11. Sensitive Questions

Provide additional justification for any questions of a sensitive nature, such as those pertaining to sexual behavior and attitudes, religious beliefs, and other matters usually considered private. The reasons the agency considers the questions necessary, the specific uses to be

Figure C-2

Supporting Statement Outline (Cont'd)

made of the data obtained, the explanation given to the respondents, and any steps to be taken to obtain the respondents' consent should be included.

12. Cost to the Government and to the Respondents

a. Cost to Government

Provide an estimate of the total dollar cost to the Federal government to process, analyze or maintain the information and the method used to estimate costs. See Section F. of this Manual for the appropriate methodology.

b. Cost to Respondents

Discuss the estimated dollar cost to respondents and the method used to derive it. Include a dollar cost for each item of burden identified (list the cost next to each item). First, choose a single representative respondent that typifies the respondent entities. Next, calculate all the costs associated with information collection activity for that typical respondent. The costs should include:

(1) Capital costs (for equipment, machinery, construction, rent, utilities, supplies, etc.);

(2) Labor costs (for clerical, and for senior, junior, and mid-level professional and managerial employees); and

(3) Other operating and maintenance costs (for labor and equipment) which result from the continuing activities that are necessary to produce the information requested.

If the activity is a new one, or if it is a modification of an existing requirement, include the start-up or developmental costs in the discussion.

13. Estimation of Respondent Burden (See also subparagraph C.6.b.(1).

Explain how the burden estimate (reported on lines 17 and 18 of the SF 83) was derived, briefly listing sources of information and basic assumptions used. Identify each item of burden and show the calculations used to derive the burden hours associated with each.

Figure C-2

Supporting Statement Outline (Cont'd)

14. Reasons for Change in Burden

If a change in burden hours is entered (decrease or increase) for items 19-3 of the SF 83, explain the difference. The only two general reasons for change are Program Change and Adjustment. (See instructions for Item 19 of the SF 83, subparagraph C.6.b(4)).

15. Scheduling

If a survey is being conducted, indicate the schedule for the entire project, including dates of beginning and ending collection, completion of the report, and expected rulemaking date, if any. If the information will be published, state the expected publication date.

B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS

If the information collection activity uses statistical methods or techniques at any stage of the process, include the following information in the supporting statement:

1. Description of the Activity

Describe the potential respondent universe and any sampling or other method used to select respondents. Provide this information in tabular form for the universe as a whole and for each of the strata in the proposed sample. At a minimum, this tabulation should indicate the expected response rates per stratum and for the collection as a whole. Indicate the actual response rates achieved during the last collection, if the collection was conducted previously.

2. Procedures for the Collection of Information

Describe any of the following if they are used in the collection of information, and give the reason(s) for selecting each procedure:

a. Statistical methodologies used in stratification and sample selection;

b. Estimation procedures;

c. Degree of accuracy (needed for the Purpose discussed in the Justification);

d. Unusual problems requiring specialized sampling procedures; and

Figure C-2

Supporting Statement Outline (Cont'd)

e. Use of periodic or cyclical data collections to reduce respondent burden.

3. Non-response, Maximization to Response Rates, and Accuracy and Reliability

Discuss methods used to maximize response rates. Describe any techniques used to ensure accuracy of response and avoidance of potential bias. Provide a description of the Quality Assurance (QA) plan together with the QA protocol.

Finally, ensure that the data can be generalized to the universe under study.

4. Tests or Procedures

Describe any tests of procedures or methods to be undertaken and the rationale for choosing them. These tests check for internal consistency and the effectiveness of previous similar collection activities.

5. Other

If information collection results will be published for statistical use, provide the following:

a. Plan outlines for tabulation, statistical analysis, and publication;

b. Names and telephone numbers of individuals consulted on statistical aspects of the design, and the name of the agency; and,

c. Name of the agency unit, contractor(s), grantees(s), or other person(s) who will actually collect and/or analyze the information for the agency.

Figure C-3

SUPPORTING STATEMENT

A. JUSTIFICATION

1. The Directorate of Personnel Plans (HQ USAF/MPX) is responsible for establishing personnel policies that ensure the capability of the Air Force to attract and retain the proper number and kinds of people needed to meet its mission requirements. An essential element in providing this capability is the military compensation system. The adequacy and efficiency of the Military Retirement System is a key factor in evaluating the capability of the military compensation system to retain quality personnel. The Directorate of Personnel Plans needs to be able to estimate the incentives the current Military Retirement System provides for Air Force personnel to continue beyond 20 years of service. The purpose of this study is to analyze the motivators involved in the nondisability retirement decision, with emphasis upon the financial aspects of the decision process. The analysis will determine the marginal lifestream earnings difference for each additional year of military service. Another incentive measure to be examined is the retirees' post-service earnings difference, to be determined by comparing Air Force retirees' post-service employment and earnings with those of retirees' civilian counterparts. Further, the study will estimate the differences between familial financial situations of military retirees and their civilian counterparts by examining the impacts of a military careerist's frequent moves on spouses' employment and earnings and on housing costs. The Directorate of Personnel Plans will use the data and analysis provided by this study to evaluate proposed changes to the Military Retirement System and to answer questions from the Congress, Office of Management and Budget, and other sources about the impacts of proposed changes upon retention.

2. The Directorate of Personnel Plans (AF/MPX) will be the using organization. Within the Directorate of Plans, the Analysis Division (AF/MPXA), the Entitlements Division (AF/MPXE), the Policy Division (AF/MPXO), and the Plans Division (AF/MPXX) will be the primary users of the analysis.

3. The burden involved in this collection of information consists of the time required for respondent retirees from the Air Force to complete an approximately 12-page questionnaire sent by mail. The time for an individual to respond should be under one-half hour. Average response time for respondents from our pretests was approximately 21 minutes. However, burden time will be conservatively estimated at about 27 minutes for the purposes of this study. Improved information technology is not applicable to reducing the burden upon the voluntary retiree respondents.

4. A somewhat similar study was conducted for the Department of Defense by the Rand Corporation in 1977 with the findings reported in 1981 (Richard V. L. Cooper, Military Retirees' Post Service Earnings and Employment, Rand Corporation, R-2493-MRAL). However, questions have been raised about the research methodologies employed, and a re-examination of the data from that study, conducted as a first phase of the current project, has confirmed econometric errors in that analysis. Further, that study did not address the familial aspects of the question by obtaining data on spouses' incomes; nor did it examine the impact of frequent moves during military service upon subsequent housing costs. Finally, this data is now out of date. The Fifth Quadrennial Review of Military Compensation employed Dr. Cooper to conduct a study of the subject using data from the Internal Revenue Service. However, that study does not deal with the important familial aspects of the post-service earnings of military retirees nor with housing and other costs that are impacted by the fact of prior military service.

5. No existing combination of sources provides the full range of inter-related data on post-service employment, earnings, housing, and living-cost experiences of Air Force retirees and their spouses. In fact, personnel at the Air Force Manpower and Personnel Center (LTC McFarland) report that no one has previously requested information on female Air Force retirees. This study will specifically focus upon female (as well as male) Air Force retirees and their post-service incomes.

Figure C-3 (Continued)

6. The respondents will be individual Air Force retirees.

7. The collection of information will be a one-time event.

8. The collection will be consistent with current guidelines.

9. The Directorate of Personnel Plans has contracted with The Conference Board, Inc., of New York City, to conduct the study, and The Conference Board has subcontracted the econometric analysis to Unicon Research Corporation of Santa Monica, CA. Both are very experienced research organizations that have conducted numerous surveys. A former executive of The Conference Board who has assisted in the design of the survey instrument is Dr. George Brown, a former Director of the Bureau of the Census. Dr. Finis Welch, President of the Unicon Research Corporation, serves on advisory panels to the Bureau of the Census. Thus, the survey instrument has been developed by persons experienced in the development of such instruments so as to minimize difficulties in responding and to maximize the useful information to be obtained.

10. The respondents will be assured that their responses will be aggregated with those of many others so that information they provide will not be identified with them in any way. Further, they will respond anonymously by mail and the items on the survey instrument have been designed so that no identification of individuals will be possible.

11. Other than questions concerning earnings and other income, which might be considered sensitive by some persons, there are no questions that might be considered sensitive. The questions concerning income are obviously related to the purposes of the study, which will be explained to the voluntary respondents so that they ought not appear intrusive.

12. Costs to respondents will be minimal: Approximately one-half hour of time or less, one time. The cost to the Federal Government, if the survey is approved will be $251,561, as established in the contract (MDA-903-83-C-0331). That includes the full cost for printing and mailing the questionnaires, processing the replies, telephone follow up to analyze nonrespondent characteristics, data processing of the results, and the professional time in analysis and in preparation of reports called for in the contract.

13. Based on the experience of the 1977 Department of Defense study mentioned in item 4 above, and two pretests conducted in March 1984, questionnaire mailings will be made to a sample sufficient to elicit responses from approximately 4,765 persons.

14. Hours for this collection were included in the ICB under Exihibit 2D, Item 3, Commissary Survey of Retired Members. Only 3,423 hours of the approved 7,500 have been used. This study would use 2,173 hours of the remaining 4,077 hours.

15. If approval is obtained from the Office of Management and Budget, it is planned that the questionnaires will be mailed early in the fall, 1984. Four weeks after the initial mailing, persons in the sample who are not known to have responded will be contacted by telephone, if possible, and urged to return their completed questionnaires or provide minimum information for nonrespondent file (items 4, 5, 6, 7, 8, 10, 29, 37, 51, and 61 on questionnaire). (Inasmuch as there will be no identifying information on the completed forms, response cannot be determined directly or precisely. However, the mailings will contain a separate post card to be used by respondents to request a copy of the summary results, and they will be asked to note whether or not they have completed a questionnaire. For the purposes of the telephone followup, it will be assumed that persons from whom we have not received a post card have not responded.) Editing the largely precoded responses will begin with the first returned questionnaires and continue until collection ends. At that time key punching will begin.

Figure C-3 (Continued)

It is expected that 1 and 1/2 months later a partially cleaned data tape will be provided to Unicon Research Corporation by The Conference Board. Further cleaning of the data by Unicon and preliminary analysis is scheduled for about 15 weeks; delivery of the preliminary analysis report, and edited tape, complete summary statistics, and a written executive summary of the preliminary findings is to be made to the Directorate of Personnel Plans after 3 and 1/2 months. Further indepth analysis and preparation of a final report with the inclusion of comments by Air Force personnel, is scheduled for another 16 weeks, with the project completed about 4 months later.

B. This collection of information will employ statistical techiques.

1. The universe to be sampled includes about 504,000 US Air Force retirees. From this theoretical universe, however, some groups of retirees will be excluded. Retirees drawing disability retirement pay are excluded inasmuch as the impact of the military compensation system and military retirement pay system upon voluntary decisions to leave or to remain in the Air Force is the focus of the study; members who leave because of disabilities incurred in service would not be appropriate subjects for study. Stratification will be employed to ensure including representative samples of all grades of officers and enlisted personnel and various lengths of service beyond the minimum of 20 years' service for retirement compensation. Within such stratifications, to be determined by the Directorate of Personnel Plans, random sampling will be employed. No unusual sampling problems are anticipated. Inasmuch as this will be a one-time event, there can be no further reduction of the data collection cycle.

2. The information called for is contained in item A1 above.

3. One mailing of the survey form will be made. Further, a telephone call will be made to a sample of persons who have not returned a separate post card, indicating that they have not responded, to urge them to complete and mail the questionnaires sent to them. If they state that they do not choose to complete the questionnaires, they will be asked to provide a minimum amount of information sufficient to determine whether or not the nonrespondents differ in any significant way from the group who do respond.

4. The first phase of the contract under which the proposed study will be conducted has been completed. The first phase involved a complete reanalysis of the data from the 1977 study, using a variety of econometric factors in the analysis so as to eliminate the sources of error and the questions raised in the earlier study. Thus, the first phase constituted a complete test of the procedures that will be employed in the econometric analysis of the data from this survey.

5. The study will be conducted by The Conference Board, Inc., 845 Third Avenue, New York, New York 10022; the program manager is Walter S. Wikstrom, Executive Director, Human Resources Program Group; the telephone is (212) 759-0900. The econometric analysis will be conducted by the Unicon Research Corporation, 2116 Wilshire Boulevard, Suite 202, Santa Monica, CA 90403; Dr. Finis Welch is the president; the telephone number is (213) 453-4567. A consultant to the project is the former Director of the Bureau of the Census, Dr. George H. Brown, Department of Business Administration, University of South Florida, Jacksonville, FL 32216; the telephone number is (904) 646-2780.

(4) Prepare SF 83

The block by block instructions for preparing an SF 83 (See Figures C-4a and C-4b) are listed below. There are less detailed instructions on the form.

Part I of SF 83

Item 1. Department/Agency and Bureau/Office Originating Request. Self-explanatory.

Item 2. Agency Code. The following codes apply to DoD:

0701 - Air Force	0703 - Navy
0702 - Army	0704 - Other DoD Components

Item 3. Name and Telephone Number of Person Who Can Best Answer Questions Regarding this Request. Self-explanatory.

Item 4. Title of Information Collection or Rulemaking. State the title as briefly as possible. Do this by describing the type of information collection request (e.g., application, report, recordkeeping requirement, monitoring, testing, survey) and function.

Item 5. Legal Authority for Information or Rule. Cite the title and section of the United States Code for the statute that authorizes the collection of information. If more than one statute or section authorizes a regulation or a collection of information, cite the principal legal authority. If a regulation or collection of information is mandated or authorized by a law not yet codified into the U.S. Code, cite the Public Law number. If an Executive Order authorizes a collection of information, cite the Executive Order number.

Item 6. Affected Public. Indicate which types of organizations will be required to supply information. Check all categories that will be affected.

Part II of SF 83

This part of the form is not used when submitting an SF 83 under the Paperwork Reduction Act. Part II is completed only when requesting a review under E.O. 12291. These actions are processed by the Organizational and Management Planning Directorate, Office of the Deputy Assistant Secretary of Defense (Administration).

Part III of SF 83

Item 13. Abstract.

Figure C-4a

Standard Form 83
(Rev. September 1983)

Request for OMB Review

Important

Read instructions before completing form. Do not use the same SF 83 to request both an Executive Order 12291 review and approval under the Paperwork Reduction Act.

Answer all questions in Part I. If this request is for review under E.O. 12291, complete Part II and sign the regulatory certification. If this request is for approval under the Paperwork Reduction Act and 5 CFR 1320, skip Part II, complete Part III and sign the paperwork certification.

Send three copies of this form, the material to be reviewed, and for paperwork – three copies of the supporting statement, to:

Office of Information and Regulatory Affairs
Office of Management and Budget
Attention: Docket Library, Room 3201
Washington, DC 20503

PART I. – Complete This Part for All Requests.

1. Department/agency and Bureau/office originating request

2. Agency code ___ ___ ___ ___

3. Name of person who can best answer questions regarding this request

Telephone number ( )

4. Title of information collection or rulemaking

5. Legal authority for information collection or rule *(cite United States Code, Public Law, or Executive Order)*

_______ USC _______________, or _______________________

6. Affected public *(check all that apply)*

1 ☐ Individuals or households
2 ☐ State or local governments
3 ☐ Farms
4 ☐ Businesses or other for-profit
5 ☐ Federal agencies or employees
6 ☐ Non-profit institutions
7 ☐ Small businesses or organizations

PART II. – Complete This Part Only if the Request is for OMB Review Under Executive Order 12291

7. Regulation Identifier Number (RIN)

___ ___ ___ ___ – ___ ___ ___ ___, or, None assigned ☐

8. Type of submission *(check one in each category)*

Classification
1 ☐ Major
2 ☐ Nonmajor

Stage of development
1 ☐ Proposed or draft
2 ☐ Final or interim final, with prior proposal
3 ☐ Final or interim final, without prior proposal

Type of review requested
1 ☐ Standard
2 ☐ Pending
3 ☐ Emergency
4 ☐ Statutory or judicial deadline

9. CFR section affected

_______ CFR _______________

10. Does this regulation contain reporting or recordkeeping requirements that require OMB approval under the Paperwork Reduction Act and 5 CFR 1320? . . . . ☐ Yes ☐ No

11. If a major rule, is there a regulatory impact analysis attached? . . . . 1 ☐ Yes 2 ☐ No
If "No," did OMB waive the analysis? . . . . 3 ☐ Yes 4 ☐ No

Certification for Regulatory Submissions

In submitting this request for OMB review, the authorized regulatory contact and the program official certify that the requirements of E.O. 12291 and any applicable policy directives have been complied with.

Signature of program official | Date

Signature of authorized regulatory contact | Date

12. *(OMB use only)*

Previous editions obsolete
NSN 7540-00-634-4034

83-108

Standard Form 83 (rev 9-83)
Prescribed by OMB
5 CFR 1320 and E.O. 12291

Figure C-4b

PART III. – Complete This Part Only if the Request is for Approval of a Collection of Information Under the Paperwork Reduction Act and 5 CFR 1320.

13. Abstract – Describe needs, uses and affected public in 50 words or less

14. Type of information collection *(check only one)*

Information collections not contained in rules

1 ☐ Regular submission
2 ☐ Emergency submission *(certification attached)*

Information collections contained in rules

3 ☐ Existing regulation *(no change proposed)*
4 ☐ Notice of proposed rulemaking (NPRM)
5 ☐ Final, NPRM was previously published
6 Final or interim final without prior NPRM
A ☐ Regular submission
B ☐ Emergency submission *(certification attached)*

7. Enter date of expected or actual Federal Register publication at this stage of rulemaking *(month, day, year)*: ______

15. Type of review requested *(check only one)*

1 ☐ New collection
2 ☐ Revision of a currently approved collection
3 ☐ Extension of the expiration date of a currently approved collection without any change in the substance or in the method of collection
4 ☐ Reinstatement of a previously approved collection for which approval has expired
5 ☐ Existing collection in use without an OMB control number

16. Agency report form number(s) *(include standard/optional form number(s))*

17. Annual reporting or disclosure burden

1 Number of respondents	
2 Number of responses per respondent	
3 Total annual responses *(line 1 times line 2)*	
4 Hours per response	
5 Total hours *(line 3 times line 4)*	

18. Annual recordkeeping burden

1 Number of recordkeepers	
2 Annual hours per recordkeeper	
3 Total recordkeeping hours *(line 1 times line 2)*	
4 Recordkeeping retention period	years

19. Total annual burden

1 Requested *(line 17-5 plus line 18-3)*	
2 In current OMB inventory	
3 Difference *(line 1 less line 2)*	
Explanation of difference	
4 Program change	
5 Adjustment	

20. Current *(most recent)* OMB control number or comment number

21. Requested expiration date

22. Purpose of information collection *(check as many as apply)*

1 ☐ Application for benefits
2 ☐ Program evaluation
3 ☐ General purpose statistics
4 ☐ Regulatory or compliance
5 ☐ Program planning or management
6 ☐ Research
7 ☐ Audit

23. Frequency of recordkeeping or reporting *(check all that apply)*

1 ☐ Recordkeeping

Reporting

2 ☐ On occasion
3 ☐ Weekly
4 ☐ Monthly
5 ☐ Quarterly
6 ☐ Semi-annually
7 ☐ Annually
8 ☐ Biennially
9 ☐ Other *(describe)*: ______

24. Respondents' obligation to comply *(check the last obligation that applies)*

1 ☐ Voluntary
2 ☐ Required to obtain or retain a benefit
3 ☐ Mandatory

25. Are the respondents primarily educational agencies or institutions or is the primary purpose of the collection related to Federal Education programs? ☐ Yes ☐ No

26. Does the agency use sampling to select respondents or does the agency recommend or prescribe the use of sampling or statistical analysis by respondents? ☐ Yes ☐ No

27. Regulatory authority for the information collection

CFR ______ ; or FR ______ ; or, Other *(specify)*:

Paperwork Certification

In submitting this request for OMB approval, the agency head, the senior official or an authorized representative, certifies that the requirements of 5 CFR 1320, the Privacy Act, statistical standards or directives, and any other applicable information policy directives have been complied with.

Signature of program official	Date
Signature of agency head, the senior official or an authorized representative	Date

On the first two lines of this block, use the "General Accounting Office Thesaurus," OIM-79-3 (reference (n)), to develop the keywords which best describe the information collection. Enclose the keywords in quotation marks and separate them by commas. An example of a properly prepared keyword list is as follows:

"wildlife, animals, fishes, recreation"

Additional information on this subject can be found in attachments to OMB Memorandum to Agency Clearance Officers (reference (o)).

On the remaining lines of this block, describe the Information Collection Request as briefly as possible (approximately 50 words). Include the potential respondents, the frequency of the response, the reason for the request and the use that will be made of the information. The abstract should address the following four questions:

1. WHO (in the public) will supply the information?

2. WHEN or how often will the information be submitted?

3. WHAT circumstances require the submissions?

4. WHY - How will the agency use the information?

Item 14. Type of Information Collection. Indicate the basis for the submission of the SF 83 by marking only one of the following categories:

1. Regular Submission: As defined in 5 CFR 1320.12 "Agencies shall submit all collections of information other than those contained in proposed rules published for public notice and comment, or in current regulations that were published as final rules in the Federal Register..." Upon request by an agency, OMB may agree to act on a collection of information on an expedited schedule, even though such submission may not qualify for emergency processing described in paragraph 2. below.

2. Emergency Submission: As defined in 5 CFR 1320.17, "An agency head or the Senior Official may request emergency processing of submission of information collection requests."

Emergency Submissions must be accompanied by a certification as defined in 5 CFR 1320.17(a), "Any such request shall be accompanied by a written determination that the collection of information is essential to the mission of the agency and that public harm will result if normal clearance procedures are followed, or that an unanticipated event has occurred which will prevent or disrupt the collection of information or cause a statutory or judicial deadline to be missed if normal procedures are followed."

In addition, Emergency Submissions must request an OMB approval deadline as specified in 5 CFR 1320.17(b), "The agency shall state the time period within which OMB should approve or disapprove the collection of information."

Finally, an Emergency Submission must include information confirming that steps have been taken to minimize burden as specified in 5 CFR 1320.17(c). "The agency shall submit information indicating that it has taken all practicable steps to consult with interested agencies and members of the public in order to minimize the burden of the collection of information."

3. Submitted with an Existing Regulation with no proposed change.

4. Submitted with a Notice of Proposed Rulemaking (NPRM) (5 CFR 1320.13).

5. Submitted with a Final Regulation for which an NPRM has been published.

6. Submitted with a Final Regulation (6A) or Interim Final Rule (6B) for which an NPRM has not been published. If 6B is marked see comments for Step 2, "Emergency Submissions," above, since the same requirements apply.

Item 15. Type of Review Requested. Mark one of the following categories which describes the type of information collection request being submitted:

1. New. When the Agency has not previously collected or sponsored this collection of information.

2. Revision. When this collection of information is currently approved by OMB, and the agency wishes to change its burden estimate substantially, in the collection itself or in the use to which the information is to be put.

3. Extension. When this collection is currently approved by OMB and the agency wishes only to extend the approval beyond the current expiration date, with no other change in the collection or burden estimate.

4. Reinstatement. When this collection of information previously had an OMB approval, but the approval expired or was withdrawn prior to this submission.

5. Existing Collection in Use Without an OMB control number. When an agency is collecting the information without a current OMB control number.

Item 16. Agency Report Form Numbers. Self explanatory.

Item 17. Annual Reporting or Disclosure Burden. List the estimated burden associated with reporting or disclosure. This estimate must be justified in the supporting statement accompanying the SF 83. It may be helpful to refer to subparagraph C.6.b(1).

1 - Enter the number of respondents for this calculated on an annual basis.

2 - Enter the estimated number of report or recordkeeping responses that the average respondent will submit during one year for each particular Information Collection Request.

3 - Enter the product of the number in 1 multipled by the number in 2.

4 - Enter the average number of person hours for each response.

5 - Enter the product of the number in 3 multiplied by the number in 4.

Item 18. Annual Recordkeeping Burden. List the burden associated with recordkeeping. These estimates must be justified in the supporting statement accompanying the SF 83. It may be helpful to refer to subparagraph C.6.b(1).

1 - Enter the number of recordkeepers for this calculated on an annual basis.

2 - Enter the total number of hours incurred annually by each recordkeeper.

3 - Enter the product of the number in 1 multipled by the number in 2.

4 - Enter the number of years that the records must be kept. If the recordkeeping retention period is not specified as a number of years -- for example, if the records are to be retained for the life of a given machine -- enter a point estimate, not a range, and explain the estimate in the supporting statement.

Item 19: Total Annual Burden. Enter estimates of the total annual burden expected to result from the collection activity.

1. Requested. Enter the sum total of the annual reporting burden (17-5) and the recordkeeping burden (18-3).

2. In Current OMB Inventory. If this submission pertains to an existing collection, enter the total burden hours currently approved by OMB for this activity.

3. Difference. Enter the difference between 19-1 and 19-2 on this line, and explain this difference on lines 19-4, "Program Change", and/or 19-5, "Adjustment". These are the only reasons for a change in burden.

4. Program Change. A change in burden which is the result of a deliberate action by the agency. Examples of program changes are:

a. New collection;

b. An existing collection without an OMB control number that came into existence after September 30, 1983;

c. Adding, dropping, or changing questions;

d. Changing the frequency of a collection activity;

e. Changing eligibility requirements on an assistance program in a way that changes the number of applicants or potential applicants;

f. Expanding the use of an existing form to include more respondents.

5. Adjustment. A change in burden that is not the result of deliberate action by the agency. Examples of adjustments are:

a. Corrections of clerical or computational errors;

b. Reestimation due to factors outside the agency's control, such as population changes or a change in the number of firms in an affected industry;

c. Changes in definition by OMB that require reestimation;

d. Transfers of public burden to or from another Federal agency.

Item 20: Current (or Most Recent) OMB control number or comment number. If the collection of information had received previously or now has an OMB control number or comment number, enter that number here.

Item 21: Requested Expiration Date. Enter the month and year of the desired expiration date for OMB approval. The information collection period cannot extend beyond three years from the expected date of OMB approval.

Item 22: Purpose of the Information Collection. Mark as many reasons for collecting the information as apply. Note that the categories in this item specify the purpose of the information collection activity, not the means of collecting the information.

1. Application for Benefits. A collection of information which a person completes in order to participate in, receive, or qualify for grants, financial assistance, or other benefit from the agency.

2. Program Evaluation. A formal assessment through objective measurements and systematic analyses, of the manner and extent to which Federal programs achieve their objectives or produce other significant effects.

3. General Purpose Statistics. Data collected chiefly for public and general government use, without primary reference to specific agency policy or program operations.

4. Regulatory or Compliance. Collections of information undertaken to assess or enforce compliance with laws or regulations. These collections include requests or petitions for exemptions or waiver or standards, and related recordkeeping. For example, this category includes determining compliance with civil rights, health, safety, environmental, energy, and economic standards.

5. Program Planning or Management. All collections of information necessary to implement program activities. This includes progress reporting or grants management, procurement, quality control, and other administrative information collections that do not fit in any category above.

6. Research. The collection of information to further the course of scientific or medical research, rather than for a specific program purpose.

7. Audit. Collections of information that verify the accuracy of accounts and records.

Item 23: Frequency of Recordkeeping or Reporting. If the collection of information is a recordkeeping activity required of respondents, mark 1. If respondents are required to submit reports, mark the appropriate reporting frequency, 2 through 9. Number 1 and another number (2-9) may both be marked if the collection requires both recordkeeping and reporting. Number 2, "On Occasion," refers to reporting on an as-needed basis.

Item 24: Respondents' Obligation to Reply. Mark the strongest obligation that applies to the repondents from one of the following:

1. Voluntary: Response by the public is entirely discretionary and has no direct effect on any benefit or privilege for the respondent.

2. Required to Obtain or Retain a Benefit: Public response is elective, but is required to obtain or retain a benefit.

3. Mandatory: Public response is expressly required by statute. The respondent must reply or face civil or criminal penalties.

Item 25: Are the Respondents Primarily Educational Agencies or Institutions or is the Primary Purpose of the Collection Related to Federal Education Programs?

Self-explanatory. A response of "Yes" in this block results in a further review by FEDAC. See section C.6.e.(2) of this Manual.

Item 26: Does the Agency Use Sampling to Select Respondents or Does the Agency Recommend or Prescribe the Use of Sampling or Statistical Analysis by Respondents?

Mark "Yes" if information is collected from a subset of all potential respondents and the results are used to infer the characteristics of the whole from the sample. Also mark "Yes" if the respondents are asked or are required to use similar sampling, or other statistical techniques, in generating or collecting the information requested or required by this collection activity.

Item 27: Regulatory Authority for the Information Collection. If an existing regulation requires the information collection, cite the principal section of the Code of Federal Regulations (CFR) containing the requirement. If a regulation not yet codified into the CFR contains the requirement, cite the final rule and provide the page and/or date it appeared in the Federal Register. If the authority for the information is not contained in an existing regulation, leave this item blank.

Item 28: Signature Block. Self-explanatory.

(5) Prepare Federal Register Notice

The Federal Register notice for an SF 83 package is the means by which the public is notified of pending information collections. The notice is published in the Federal Register and the public has 30 days from the date of publication to comment on the pending information collection. It is typed double spaced, with one inch margins. Seven notices (original and 6 copies) are to be forwarded to the DoD Clearance Officer for review along with the SF 83 package. A sample Federal Register notice is shown in Figure C-5. The following items shall be part of the Federal Register notice and contain the same information as Figure C-5:

(a) Item 1. Action. Identifies that it is a public information collection.

(b) Item 2. Summary. Itemizes the supporting statement for the information collection.

(c) Item 3. Addresses. Gives the public the name, address, and telephone number of persons to contact regarding questions or comments.

(d) Item 4. Supplemental Information. Where the public may obtain a complete copy of the information collection proposal.

The below listed items are provided by the information collection activity. Leave a one inch left and right margin. Double space as indicated in the sample shown in Figure C-5. Submit the original and six copies of the Federal Register notice with the SF 83s. Reproduced copies are acceptable. The information to be submitted is as follows:

1. Submission. New, Revision, Extension, Reinstatement, and Existing Collection in Use Without an OMB control number. See SF 83, Part III, paragraph 15, page 2 for definition of these terms.

2. Title and Forms. Information collection title and form numbers, if applicable.

3. Abstract. Describe needs, uses, and affected public in 50 words or less. See SF 83, Part III, paragraph 13, page 2.

4. Type of Respondent. Affected public, individual, state, local governments, farms, businesses, Federal agencies or employees, non-

Figure C-5

Sample Federal Register Notice for
"Request for OMB Review" (SF 83)

DEPARTMENT OF DEFENSE

Office of the Secretary of Defense

ACTION: Public Information Collection Requirement Submitted to OMB for Review.

SUMMARY: The Department of Defense has submitted to OMB for review the following proposal for the collection of information under the provisions of the Paperwork Reduction Act (44 U.S.C. Chapter 35). Each entry contains the following information: (1) Type of submission; (2) Title of Information Collection and Form Number, if applicable; (3) Abstract statement of the need for and the uses to be made of the information collected; (4) Type of Respondent; (5) An estimate of the number of responses; (6) An estimate of the total number of hours needed to provide the information; (7) To whom comments regarding the information collection are to be forwarded; and (8) The point of contact from whom a copy of the information proposal may be obtained.

(Submission) NEW

(Title & Forms) Portfolio Business Profile; DD Form XXXX

(Abstract) The Booker T. Washington Foundation, under a Department of Defense contract, has developed the DoD portfolio system; an outreach program which seeks out, on a voluntary basis, those disadvantaged business firms who desire to participate in DoD's acquisition program. The Portfolio Business Profile form is used by Booker T. Washington Foundation Account Executives to obtain

Figure C-5 (Continued)

significant data from such firms through personal interview appropriate officials. It lists their capabilities and capacities in terms of equipment, numbers and skills of employees, kinds of work done in the past, and general capability to perform.

(Respondent) Disadvantaged Business Firms

(Responses) Responses 5,000

(Burden) Burden hours 10,000

(Comments) ADDRESSES: Comments are to be forwarded to Mr. Edward Springer, Office of Management and Budget, Desk Officer, Room 3235, New Executive Office Building, Washington, DC 20503 and Mr. Daniel J. Vitiello, DoD Clearance Officer, WHS/DIOR, 1215 Jefferson Davis Highway, Suite 1204, Arlington, Virginia 22202-4302, telephone number (202) 746-0933.

(Point of Contact) SUPPLEMENTAL INFORMATION: A copy of the information collection proposal may be obtained from Mr. A. F. Williams, OPI, Room 2A340, The Pentagon, Washington, DC 20301, telephone (202) 697-1481.

PATRICIA H. MEANS
OSD Federal Register Liaison Officer
Department of Defense

profit institutions. See SF 83, Part I, Item 6.

5. *Number of Responses.* See SF 83, paragraph A, Item 13.

6. Total Burden Hours. See SF 83, Part II, Item 19, page 2.

7. Comments. Use the exact text contained in this sample.

8. Point of Contact. The point of contact is the individual where a copy of the proposal can be obtained.

9. Office. Type DoD Components' name. Do not give the originating organization.

Examples: Department of the Army
Department of the Navy
Department of the Air Force
Defense Logistics Agency
Office of the Secretary of Defense

c. Clear Through Component IMCO

Submit the SF 83 package (Original and 3 Copies) through the IMCO who shall check it for completeness, ensure that the hours are in the ICB, and that a Privacy Act Statement is incorporated in the information collection instrument, if applicable. Additionally, the IMCO shall ensure that DoD forms management and data standardization programs have been embodied into the request, as appropriate.

d. Submission to WHS/DIOR

(1) Reports Management Criteria

The DoD Clearance Officer reviews all DoD requests for OMB approval before they are submitted to OMB. They are checked for completeness of the SF 83 package, practical utility of the information collected, duplicative information, and clear 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 by an informal means, then the package is returned with a written explanation. The specific items checked are:

(a) Completeness

SF 83 (Original and 3 copies);
Supporting statement (4 copies);
Forms, if applicable;
Instructions and guidelines;

Survey designs, if applicable;
Sections of applicable laws and regulations;
Federal Register notice (Original and 6 copies).

(b) SF 83 Entries.

Item	Checked For
13.	First line must have minimum of two keywords from the "GAO Thesaurus" (reference (n)).
15.	Must be checked.
18.	If filled in, see that it is in supporting statement.
19.	Must equal OMB's most current inventory listing.
	Check ICB
25.	Valid answer
26.	Valid answer

(c) 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.

(d) Other Factors.

Check to see that forms have provisions for displaying the OMB control number and expiration date in the upper right corner. Check survey documents for consistency with the information requirement and request assistance from survey experts on the technical aspects of the survey, if necessary. Check the Federal Register notice for compliance with the written format specifications described in subparagraph C.6.b(5) and for overall compliance with the Privacy Act if a Privacy Act Statement is required.

(2) Federal Information Locator System (FILS)

Each SF 83 package must be screened against the FILS to determine if a duplicate information collection exists. WHS/DIOR enters the search criteria and certifies that the search was performed using the "FILS Checklist (09/83 Version)" shown in

Figure C-6. This form is retained in the WHS/DIOR files and is not transmitted to OMB.

(3) Privacy Act

WHS/DIOR reviews the proposed information collection for compliance with the Privacy Act of 1974 as required by DoD 5400.11-R (reference (p)). If WHS/DIOR is unable to ensure that the proposed collection complies with the law in all respects, a memorandum requesting review, with the SF 83 package as an enclosure, is forwarded to (1) the Defense Privacy Office if a DoD Component is involved, or (2) WHS, Correspondence and Directives Directorate, Records Management Division, if an OSD Component is involved.

(4) DoD Forms Program

WHS/DIOR reviews the proposed information collection to ensure that any format, document, or computer screen requiring fill-in data with an annual usage of 100 or more, is controlled as a form. Form types for OMB approvals can be Standard Forms, Optional Forms, DD Forms, or DoD Component forms. Contact the appropriate Component Forms Management Officer if more information is needed. They are listed in DoD 5000.21-L (reference (q)).

(5) DoD Data Standards Program

Information requirements from the public, including contractors, shall be reviewed for compliance with existing DoD standard data elements and codes as published in DoD 5000.12-M (reference (r)). The Federal Information Processing Standards (FIPS), with which the Department of Defense must comply, have been incorporated into DoD 5000.12-M. Many of the FIPS standards implement American National Standards, wherever possible.

e. Submission to OMB

(1) OMB Criteria

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

(a) How often is the report requirement form used, and is that the minimum frequency necessary?

(b) Is the response voluntary?

(c) How old is the report? Is it still valid?

(d) Will this information collection trigger

Figure C-6

FILS CHECKLIST

(09/83 VERSION)

1. Agency Code	2. Date of FILS Search	3. OMB Control Number *(if any)*

4. Title of the information collection *(if there is no OMB number)*

5. Agency report form numbers*(s)*

6. Keywords used during the FILS search for existing information:

(1) ____________ (4) ____________ (7) ____________

(2) ____________ (5) ____________ (8) ____________

(3) ____________ (6) ____________ (9) ____________

7. Agency*(ies)* consulted to determine whether information already exists:

8. Indicate the OMB number*(s)* of similar collections: ____________, ____________,

____________, ____________, ____________, ____________,

9. The final determination of this search for duplication is that the information collection requirements of this clearance request:

☐ are met by the existing collection with OMB number ____________.

- Therefore, the clearance request was not forwarded to OMB.
- The existing information could not be obtained from the collecting agency for the following reason:

____

____

☐ cannot be met by information already available to the government.

☐ are similar to existing Federal information collections, but different in the following respects:

- different population or sample
- different reporting units or level or detail
- different time period (e.g. revision or extension of existing collections)

other:

____

10. Additional comments:

the need for additional data?

(e) Is the information collection the result of a regulatory or administrative requirement?

(f) How many burden hours are required to provide the information? Is the amount excessive? Is the burden estimate realistic?

(g) What is the quality of the data collection design?

(h) Can the information be found elsewhere?

(i) Is the information really needed, or is it outmoded?

(j) Is every question or data element really necessary?

(k) Is the privacy and confidentiality of the respondents protected?

(l) Is the study statistically valid and designed to be efficiently administered?

(m) What is the overall quality of the SF 83 package?

(2) FEDAC

When Item 25 of the SF 83 is marked "Yes," the entire package shall be sent to the Federal Education Data Acquisition Council (FEDAC) for review as required by OMB Memorandum (reference (s)). DoD Components must ensure that if they are planning an information collection that involves a Federal Education Program, that WHS/DIOR be advised by January 1 of the school year preceding the planned collection of the information. WHS/DIOR shall send the proposed information collection title to FEDAC so it can be published in the Federal Register by February 15 of that year.

(3) Public Access

In order to enable the public to participate in and make comment on proposed information collections, OMB will make its files available for public inspection during the normal business hours. Requirements to provide materials to the public may be modified or waived by OMB to the extent that public participation in the approval process would defeat the purpose of the collection of information; jeopardize the confidentiality of proprietary, trade secret, or other confidential information; violate state or Federal law; or substantially interfere with DoD's ability to perform its statutory obligations. Accordingly, make sure that any material that cannot be disclosed to the public be excluded from the SF 83 package and advise WHS/DIOR of this when the package is forwarded.

f. OMB Approval/Disapproval

OMB receives the SF 83 package and the 90 day clock starts running. OMB shall either:

(1) Approve the SF 83
(2) Approve it on a conditional basis
(3) Return it for revision
(4) Disapprove it, or
(5) Take no action. If OMB does not act within 90 days, clearance is automatic, and a control number shall be issued.

Assuming the SF 83 is approved, OMB assigns it an OMB control number and an expiration date and returns the notice to WHS/DIOR who sends it to the Component IMCO.

g. 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.

7. Procedures to Revise or Extend Information Requirements from the Public.

a. Major Revisions or Extensions

Major revisions or extensions of over three months must be accomplished by the submission of an SF 83 package as specified in subsection C.6.

b. Minor Revisions or Extensions

Minor revisions or extensions of three months or less can be done through the submission of an "Inventory Correction Worksheet" as shown in Figure C-7. This form must be coordinated with the IMCO and submitted to WHS/DIOR for forwarding to OMB.

8. Procedures to Cancel Information Requirements from the Public

DoD and OSD Components may cancel an information collection approved by OMB by sending an Inventory Correction Worksheet through the appropriate IMCO to WHS/DIOR requesting that an information collection be canceled. WHS/DIOR shall advise OMB of the cancellation and that the information collection inventories (See subsection C.9 for more information on the report inventories) are updated accordingly.

Figure C-7

INVENTORY CORRECTION WORKSHEET

			Initials	Date
Docket No.:	______	Desk Officer:	____	____
Effective Date of Correction:	______	Approved:	____	____
		Entered:	____	____

Classification of Corrections
Enter only items that change

SF 83 Item		AS CURRENTLY IN INVENTORY	AS CORRECTED
2	Agency/Bureau Number		
4	Functional Code		
5	Title		
6	Abstract		
7	Expiration Date*		
9	On Plan (Y/N)		
10	Exceed Budget (Y/N)		
11	Significant (Y/N)		
12	Number of Forms		
13	Agency Form No.(s)		
16	Public/Nonpublic (P/NP)		
20	Type of Respondent		
21	SIC		
22	Small Business (Y/N)		
24	Purpose		
25	Frequency		
26	Collection Method		
27	Collection Agent		
29	Compulsory Status		
30	Confidentiality		
32	Cost		
19c	No. of Respondents		

		Report (+1 or -1)	No. of Responses 19e	No. of Reporting Hours 19g
18 & 19 Reporting Burden:	In inventory (old):			
	New (if changed):			
	Difference (new-old):	+ -	+ -	+ -
Explanation for Change in burden:	Correction-Error including transfers and not subject	+ -	+ -	+ -
Adjustments	Correction - Reestimate		+ -	+ -
	Change in use		+ -	+ -
Program Changes:	Increase	+	+	+
	Decrease	-	-	-

•Circle direction of change as: positive (+) or negative (-).
•Indicate one or more types of change and amount attributed to each.

*Extensions without complete resubmission cannot exceed three months.
COMMENTS (explanations for other than correction - errors):

9. Inventory of Public Information Collections

a. Overview

(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 publish DoD 7750.5-L (See paragraph C.9.d., below), to perform workload assessments, to support IRM reviews, and for general reports management activities.

(2) OMB maintains an inventory of approved information collections which it uses to produce monthly reports such as the "List of Active Reports Approved Under the Federal Reports Act," the "Notice of Expiring Reports," and the "Agency Quarterly Changes in Burden." These data are also used to update the FILS which is maintained by OMB.

(3) OMB manages the FILS for the Federal government. This system is an inventory of all OMB approved information collections from all Federal agencies. It includes a keyword search capability which enables users to search easily for duplicative information collections or other information as necessary. WHS/DIOR screens DoD Component SF 83 submissions for duplication and certifies that a search was conducted.

b. Relationship to ICB

The ICB is the fiscal year end goal of reporting burden hours on the public by the Department of Defense, whereas the inventory of OMB approved information collections reflects the current burden hours imposed on the public by the Department. At the end of the fiscal year, if the Department of Defense met its goal, the burden hours shown in the inventory of information collections will be less than or equal to the ICB. Keeping the inventory of information collections up to date is vital to the effective management of the program for the Department of Defense.

c. Making Changes to Inventory

Changes to the OMB inventories are made by either submitting an SF 83 or an Inventory Correction Worksheet through the IMCO to WHS/DIOR. If the WHS/DIOR inventory disagrees with the OMB inventory and the OMB inventory is correct, changes are accepted over the telephone.

d. Output Reports

(1) Monthly Report to IMCO

Every month, WHS/DIOR sends a memorandum which provides the latest status of reports control at the DoD level to the IMCO. This memorandum includes OMB's current inventory of information collections from the public and the expiring collections as well. A sample of one of the OMB reports which are generally enclosed is shown in Figure C-8.

(2) 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 ICB burden hours. These reports are helpful particularly toward the end of the fiscal year. A sample report is shown in Figure C-9.

(3) OMB Quarterly Report

WHS/DIOR produces the "OMB Quarterly Report" from the WHS/DIOR data base (See also subparagraph C.5.d(3)). A page of this report is shown in Figure C-10.

(4) DoD 7750.5-L

(a) This listing, "Listing of Approved Recurring Information Requirements," is published by WHS/DIOR on January 31 and July 31 of every year and is authorized by DoDD 7750.5 (reference (a)). Its purpose is to identify DoD internal information requirements approved by OSD, interagency reporting requirements approved by GSA, and information collections from the public approved by OMB.

(b) Part III of this listing is divided into two subparts. Subpart IIIA is a list of active OMB approved information collections and includes the OMB control number, title, expiration date, associated forms, authority, respondents, current inventory, and current DoD budget. Subpart IIIB is a list of the OMB approved reports which have been canceled or transferred in the last two years. Sample pages from these subparts are shown in Figures C-11a and C-11b.

10. Annual SF/OF Burden Hour Report

Agencies shall submit to WHS/DIOR, 1215 Jefferson Davis Highway, Suite 1204, Arlington, Virginia 22202-4302, 90 workdays before the close of each fiscal year a summary of the Standard and Optional forms used for collections of information covered by 5 CFR 1320. Instructions for preparing the report are on GSA Form 3515, "Annual Report of Standard and Optional Forms Used for Collections of Information Covered by 5 CFR 1320." Include in the report the actual number of forms used plus the estimated number needed for the remainder of the current fiscal year. This report is assigned interagency report control number 0309-GSA-AN. WHS/DIOR shall aggregate Component reports and forward them to GSA, Office of Information Resources Management (KLSO), Washington, DC 20405, 60 workdays before the close of the fiscal year. A sample page of this report is shown in Figure C-12; a copy of the input form for the report is shown in Figure C-13.

Figure C-8

Department of Defense
LIST OF ACTIVE REPORTS
APPROVED UNDER THE FEDERAL REPORTS ACT
AS OF 03/31/86

SEE HEADER PAGE FOR
FOR EXPLANATION OF CODES

Department of the Air Force

OMB NUMBER / REPORT TITLE / AGENCY FORM NUMBERS	PURPOSE / AFFECTED PUBLIC / FREQUENCY	ANNUAL RESPONSES	ANNUAL REPORTING HOURS	LAST ACTION DATE	EXPIR-ATION DATE	PENDING ACTION
0701-0001 APPLICATION FOR TRAINING LEADING TO A COMMISSION IN THE UNITED STATES AIR FORCE AF 56	1 1 2	6,200	2,067	08/21/85	05/31/88	
0701-0021 MILITARY AFFILIATE RADIO SYSTEM (MARS) MEMBER STATION QUESTIONNAIRE TRANSCRIPT AFCS132	1 1 9	3,000	1,500	08/16/84	07/31/87	
0701-0026 NOMINATION FOR APPOINTMENT TO THE U.S. MILITARY ACADEMY, NAVAL ACADEMY, AIR FORCE ACADEMY DD 1870	1 1 2	32,640	5,440	09/24/85	09/30/88	
0701-0041 MINOR MOTOR VEHICLE ACCIDENT REPORT 840	5 1 2	500	150	03/14/84	03/31/87	
0701-0043 ACCIDENT INFORMATION EXCHANGE 841	5 1 2	205	34	03/14/84	03/31/87	
0701-0044 AIR FORCE CRIME PREVENTION PROGRAM FIELD INTERVIEW 1668	5 1 2	47,540	2,377	03/14/84	03/31/87	
0701-0047 TEMPORARY VEHICLE/VISITOR INSTALLATION PASS 75	5 1 2	95,000	4,750	03/14/84	03/31/87	
0701-0049 STATEMENT OF FINANCIAL STATUS AFAFC O-187	4 1 2	6,750	6,750	09/30/85	06/30/86	

Figure C-9

PAGE NO. 00006 Washington Headquarters Services, DIOR
85/11/05

WHS/DIOR Information Collection Budget Inventory Report

OMB Appr Number	Q T R	Expir Date	FY 1986 ICB	10/01/85 Inventory	Prog Chgs To Date	Adjust-ments	Current Inventory
* Sub-total: ASD(HA)							
0704-0084		880131	1960000	1960000	0	140181	2100181
0704-0087		880531	48613	48613	0	0	48613
0704-0088	1	860630	15000	15000	-14801	0	199
0704-0089		860630	6250	6250	0	-848	5402
0704-0090		880331	17000	17000	0	0	17000
0704-0092		861031	1890	1890	0	-990	900
0704-0096		860731	2625	2625	0	0	2625
0704-0098		860930	840	840	0	0	840
0704-0099		860930	8400	8400	0	-4200	4200
0704-0110		870731	255219	255219	0	0	255219
0704-0162	1	880430	264	264	274	0	538
0704-0163	1	880430	2200	2200	-2034	0	166
0938-0279			439299	439299	0	0	439299
HA-2A01			8	0	0	0	0
HA-2A02			750	0	0	0	0
HA-2A03			11063	0	0	0	0
HA-2A04			2250	0	0	0	0
HA-2B01			96000	0	0	0	0
HA-2B02			8333	0	0	0	0
HA-2B03			25000	0	0	0	0
HA-2B04			31	0	0	0	0
HA-2B05			2500	0	0	0	0
HA-2B06			25000	0	0	0	0
HA-2B07			2250	0	0	0	0
HA-2B08			1700	0	0	0	0
** SUBTOTAL **			2932485	2757600	-16561	134143	2675182

Figure C-10

Department of Defense - Fiscal Year 1985
ICB QUARTERLY REPORT OF PAPERWORK REDUCTIONS
(in thousands of burden hours)

OMB Appr Number	Title	1st QUARTER EXISTING	1st QUARTER NEW	2nd QUARTER EXISTING	2nd QUARTER NEW	3rd QUARTER EXISTING	3rd QUARTER NEW	4th QUARTER EXISTING	4th QUARTER NEW
0704-0204	DOD FAR SUPPLEMENTS, PART 9 CONTRACTOR'S QUALIFICATIONS	0.0	0.0	0.0	2.5	0.0	0.0	0.0	0.0
0704-0205	DOD FAR SUPPLEMENTS, PART 8 REQUIRED SOU RCES OF SUPPLIES AND SERVICES AND PART 5 2.20	0.0	0.0	0.0	0.8	0.0	0.0	0.0	0.0
0704-0207	EXPORT CONTROLLED TECHNICAL DATA AGREEME NT	0.0	0.0	0.0	200.0	0.0	0.0	0.0	0.0
0704-0208	OCEANIC SOUNDING REPORT HTC 8053-1	0.0	0.0	0.0	0.4	0.0	0.0	0.0	0.0
0704-0209	DMAODS CUSTOMER SERVICES INQUIRY CARD	0.0	0.0	0.0	0.1	0.0	0.0	0.0	0.0
0704-0210	DMA HYDROGRAPHIC/TOPOGRAPHIC CENTER, POR T INFORMATION REPORT	0.0	0.0	0.0	0.4	0.0	0.0	0.0	0.0
0704-0211	NOTICE TO MARINERS INFORMATION AND SUGGE STION SHEET	0.0	0.0	0.0	0.7	0.0	0.0	0.0	0.0
0704-0213	DOD FAR SUPPLEMENTS, PART 22, APPLICATIO N OF LABOR LAWS TO GOVT ACQUISITION, REL ATED	0.0	0.0	0.0	10.2	0.0	0.0	0.0	0.0
0704-0214	DOD FAR SUPPLEMENTS, PART 17, SPECIAL CO NTRACTING METHODS AND RELATED CLAUSES	0.0	0.0	0.0	97.2	0.0	0.0	0.0	0.0
0704-0215	DOD FAR SUPPLEMENTS, PART 14, FORMAL ADV ERTISING, RELATED CLAUSES IN PART 52.214	0.0	0.0	0.0	0.6	0.0	0.0	0.0	0.0
0704-0216	DOD FAR SUPPLEMENTS, PART 28, BONDS AND INSURANCE, RELATED CLAUSES IN PART 52.22 8	0.0	0.0	0.0	1.8	0.0	0.0	0.0	0.0
0704-0217	SURVEY OF FORMER DOD CIVILIAN EMPLOYEES	0.0	0.0	0.0	0.0	0.0	6.0	0.0	0.0
0704-0219	END-OF-YEAR REPORTS FOR SCHOOL AND INSTA LLATION ADVISORY COMMITTEES	0.0	0.0	0.0	0.0	0.0	0.3	0.0	0.0
0704-0220	REFERENCE CONTACT LETTER DIS FL 4	0.0	0.0	0.0	0.0	0.0	1.8	0.0	0.0

Figure C-11a

Part IIIA - List of Recurring DoD Public-Use Reports

OMB Control Number	Expir Date (YYMMDD)	Title of Report	Associated Forms	Authority for Report	Respondents	Current Inventory (Burden Hrs)	Current DoD Budget (Burden Hrs)
0701-0001	880531	APPLICATION FOR TRAINING LEADING TO A COMMISSION IN THE UNITED STATES AIR FORCE	AF 56	AFR 53-27	IND/HHLDS	2067	2067
0701-0008	860331	CONTRACT PROGRESS SCHEDULE AND CONTRACT PROGRESS REPORT			BUSS/INST	37072	0
0701-0021	870731	MARS MEMBER STATION QUESTIONNAIRE	AFCS 132	AFCSR 102-4	MARS MEMBERS	1500	1800
0701-0026	880930	NOMINATION FOR APPOINTMENT TO THE U.S. MILITARY ACADEMY, NAVAL ACADEMY, AIR FORCE ACADEMY	DD 1870	TITLE 10, USC BUPERS INST. 15791B, AFR 53-40	SENATORS, CONGRESSME	5440	5440
0701-0039	860131	VISITOR REGISTRATORY FOR CONTROLLED / RESTRICTED AREAS	AF 1109	INTERNAL SECURITY ACT OF 1950	CONTRACTORS	6000	6000
0701-0041	870331	MINOR MOTOR VEHICLE ACCIDENT REPORT	AF 840		INDIVIDUALS INVOLVED	150	150
0701-0042	860131	UNESCORTED ENTRY AUTHORIZATION CERTIFICATE	AF 2586	INTERNAL SECURITY ACT OF 1950 (USC 797)	CONTRACTORS, INDIVID	6000	6000
0701-0043	870331	ACCIDENT INFORMATION EXCHANGE	AF 841		INDIVIDUALS INVOLVED	34	34
0701-0044	870331	AIR FORCE CRIME PREVENTION PROGRAM FIELD INTERVIEW	AF 1668		SUSPICIOUS PERSONS	2377	2377
0701-0047	870331	TEMPORARY VEHICLE/VISITOR INSTALLATION PASS	AF 75		INDIVIDUALS, CONTRAC	4750	4750
0701-0049	860630	STATEMENT OF FINANCIAL STATUS	AFAFC 0-187	PL 89-508	RETIRED/SEPARATED AF	6750	5000
0701-0050	870131	CIVIL AIRCRAFT LANDING PERMIT SYSTEM	DD FORMS 2400, 2401, 2402	FEDERAL AVIATION ACT OF 1958	IND/HHLD & BUSS/INST	3000	3000
0701-0051	861130	PROPOSAL FOR A PROPRIETARY TRACKING STUDY OF AIR FORCE ADVERTISING			17-26 YEAR OLD MALES	255	255
0701-0052	861130	PROPOSAL FOR AN ADVERTISING COPY EVALUATION SURVEY			17-26 YEAR OLD MALES	335	335
0701-0054	871231	ADVANCE PAYMENT TRANSACTIONS AND STATUS		DEPT OF TREASURY FISCAL REQUIREMENTS MANUAL	NON-PROFIT INST	416	416
0701-0059	870630	INDIVIDUAL RELIGIOUS EDUCATION ENROLLMENT AND ATTENDANCE	SAC 532	SAC SUPPLEMENT 1 TO AFR 265-8	CHAPEL MANAGEMENT PE	1518	1000

Figure C-11b

Part IIIB - List of Recurring Public-Use Reports Cancelled or Transferred in the Last Two Years

OMB Approval Number	Expiration Date (YYMMDD)	Cancellation Date (YYMMDD)	Title of Report	Associated Forms	Authority for Report	Current DoD Budget (Burden Hrs)	Action Taken
0701-0008	860331	860117	CONTRACT PROGRESS SCHEDULE AND CONTRACT PROGRESS REPORT			0	INCLUDED IN 0704-0189 DAR
0701-0025	850930	850930	AFROTC CADET PERSONNEL SYSTEM	AFROTC FORMS 1000, 3000, 5000, 7000, 9000	AFROTCR 45-1	0	NOTICE OF DISCONTINUANCE
0701-0060	870630	850930	OPEN MESS MEMBERSHIP APPLICATION	SAC FORM 100	10 USC 8012	0	NOTICE OF DISCONTINUANCE
0701-0061	850331	850331	QUESTIONNAIRE FOR CONTRACT SIMPLIFICATION TEST		E.O. 12352	0	EXPIRED
0701-0083	860731	850930	USAF QUALITY OF MEDICAL CARE SURVEY	SURVEY FORM	AFR 30-23	0	NOTICE OF DISCONTINUANCE
0701-0085	850930	850930	AIR FORCE RETIREES' EMPLOYMENT AND EARNINGS SURVEY			0	NOTICE OF DISCONTINUANCE
0702-0017	850331	850422	PREQUALIFICATION STATEMENT FOR PRIME CONSTRUCTION CONTRACTS	ENG 3627	DAR 18-209	0	INCLUDED IN 0704-0193
0702-0066	851231	851211	DELAYED ENTRY PROGRAM (DEP) ATTRITION STUDY		10 USC 2358	0	CANCELED
0702-0067	860630	850930	NEEDS ASSESSMENT SURVEY		10 USC 3012	0	NOTICE OF DISCONTINUANCE
0703-0002	860430	860708	LONG RANGE DESIGN WORKLOAD FORECAST RCS NAVSHIPS 9020-2		NAVSHIPS INST. 9020.14	160	EXPIRED
0703-0003	850229	850523	UNIT PRICE ANALYSIS - UNIT PRICE ANALYSIS SUMMARY	NAVSEA 4280/2, 4280/2A		0	INCLUDED IN DFAR
0703-0012	851231	860101	PERSONAL INFORMATION QUESTIONNAIRE	NAVMC10064		6000	EXPIRED
0703-0042	850531	850531	VOCATIONAL TECHNICAL SCHOOL STUDENTS MILITARY INTEREST SURVEY			0	EXPIRED
0703-0043	870930	860117	GOVERNMENT-INDUSTRY DATA EXCHANGE PROGRAM (GIDEP) ANNUAL PROGRESS REPORT	DD 2166	MIL-STD 1556, JLC CHARTER	1040	NOTICE OF DISCONTINUANCE
0704-0032	860331	860708	DOD INDUSTRIAL PLANT EQUIPMENT REQUISITION	DD 1419	DSAM 4215.1	3750	EXPIRED
0704-0054	851231	851231	APPLICATION FORM, ROTC FOUR YEAR SCHOLARSHIP	DD 1893	DODD 1215.8	0	EXPIRED

Figure C-12

Fiscal Year 1985

ANNUAL REPORT OF STANDARD AND OPTIONAL FORMS USED FOR COLLECTIONS OF INFORMATION COVERED BY 5 CFR 1320

Interagency Report No. 0309-GSA-AN

Agency: Department of Defense (9700)
OSD/WHS/DIOR
1215 Jefferson Davis Hwy #1204
Arlington, VA 22202-4302

Date Prepared: 19 July 1985

Prepared By: Robert S. Drake
Director, Information Control Division
202-746-0664

Form No. (a)	Form Title (b)	Edition Date (c)	OMB Appr Number (d)	Freq Code (e)	Respondents (f)	Avg Annual Responses (g)	Forms Compl (f)x(g) (h)	Burd Hrs Per Resp (i)	Total Burd Hrs (h)x(i)
SF1432	Inventory Schedule D (Special Tooling & Test Equipment)	1083	3090-0120	2	2687	1.97	5298.00	1.50	7987.12
SF1433	Inventory Schedule D-Cont Sht (Spec Tooling and Test Equip)	1083	3090-0120	2	933	4.40	4113.00	1.50	6210.48
SF1434	Termination Inventory Schedule E (Short Form)	1083	3090-0120	2	280	1.95	546.58	3.91	2138.48
SF1435	Settlement Proposal (Inventory Basis)	1083	3090-0115	2	398	1.50	598.18	2.77	1661.75
SF1436	Settlement Proposal (Total Cost Basis)	1083	3090-0115	2	542	2.06	1117.09	7.35	8220.83
SF1437	Settlement Proposal for	1083	3090-0115	2	241	2.78	671.08	7.29	4893.72
SF1438	Settlement Proposal (Short Form)	1083	3090-0115	2	1037	1.38	1439.06	3.06	4412.47
SF1439	Schedule of Accounting Information	1083	3090-0115	2	448	1.59	715.56	9.64	6903.08
SF1440	Application for Partial Payment	1083	3090-0115	2	5901	83.15	490713.55	0.99	490695.25
SF1442	Solicitation, Offer, and Award (Construction, Alt in Repair)	0485	3090-0115	2	38136	3.64	139188.26	8.29	1153911.56
SF1443	Contractor's Request for Progress Payment	1083	3090-0105	2	18626	17.16	319678.08	0.98	315233.34
SF2800	Application for Death Benefits-Civ Svc Retirement System	0571		2	33183	0.99	33182.00	0.51	17122.20
SF2801B	Physician's Statement for Empl Disab Retirement Purposes	0182		2	1376	1.00	1376.00	0.74	1023.70
SF2801D	Request for Medical Records in Connection with Disability	0166		9	243	1.00	243.00	0.43	105.80
SF2802	Application for Refund of Retirement Deductions	1283	3206-0128	2	8260	1.00	8260.00	0.49	4079.20
SF2803	Application to Make Deposit or Redeposit	0280	3206-0134	2	1120	1.00	1120.00	0.53	603.30
SF2805	Request for Recovery of Debt Due the United States	0480		9	1100	1.54	1700.00	0.38	660.00
SF2809	Health Benefits Registration Form - Fed Empl Health Ben Prg	0879		2	161951	1.00	161951.00	0.20	32595.00
SF2809EZ	Health Benefits Enrollment Change Form for Annuitants	0784	3206-0141	7	3045	1.00	3045.00	0.20	609.00
SF2810	Notice of Change in Health Benefits Enrollment	0984		2	53944	1.00	53944.00	0.24	13409.20
SF2814A	Medicare Part B Certification	0280		1	4	12.00	48.00	0.50	24.00
SF2823	Designation of Beneficiary/FEGLI	0481	3206-0133	2	10540	1.00	10540.00	0.36	3842.50
SF2824	Documentation in Support of Disability Retirement Appl	0784	3206-0133	1	689	1.37	949.00	0.56	540.00
SF2824A	Applicant's Statement of Disability	0784	3206-0133	2	68	1.00	68.00	0.58	40.10
SF2824B	Supervisor's Statement	0784	3206-0133	2	63	1.00	63.00	0.53	34.00
SF2824C	Physician's Statement	0784	3206-0133	2	80813	1.00	80813.00	0.19	16087.60

Figure C-13

1. FISCAL YEAR	ANNUAL REPORT OF STANDARD AND OPTIONAL FORMS USED FCR COLLECTIONS OF INFORMATION COVERED BY 5 CFR 1320		INTERAGENCY REPORT NO. 0309-GSA-AN
2. AGENCY (*Name, address, ZIP Code*)	CODE	3. DATE PREPARED	4. PAGE OF
		5. PREPARED BY (*Name, title, organization, telephone number*)	

6. LIST THE FOLLOWING IN NUMERICAL ORDER: (a) Standard Forms, (b) Exceptions to Standard Forms, and (c) Optional Forms.

FORM NUMBER	FORM TITLE	FORM EDITION DATE* (*Mo./Yr.*)	OMB APPROVAL NUMBER	RECORD OR REPORT FREQUENCY CODE	NUMBER OF (*DO NOT USE ANY COMMAS*) RESPOND-ENTS	AVERAGE ANNUAL RESPONSES FOR RE-SPONDENT	FORMS COM-PLETED (f) X (g)	BURDEN HOURS PER RESPONSE	TOTAL BURDEN HOURS (h) X (i)	GSA REMARKS
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)

G· ·RAL SERVICES ADMINISTRATION
··om form used.

(See Instructions on reverse)

GSA FORM 3515 (4-84)

D. INTERAGENCY REPORTS

1. Purpose

The purpose of this section is to establish procedures for DoD and OSD Components to develop, revise, and cancel interagency reports imposed on other Federal agencies by the Department of Defense. Furthermore, it specifies the DoD responsibilities DoD in responding to reports imposed on it by other Federal agencies.

2. Scope

a. This Manual covers the procedures for DoD and OSD Components imposing interagency reports on one or more other Federal agencies. Interagency reports are reviewed and cleared by the General Services Administration (GSA) and are subject to the provisions of the Federal Information Resources Management Regulation 201-45.6 and 5 CFR 1320.6 (references (b) and (f)). Interagency reports which are also public reports require OMB approval.

b. It also covers the responsibilities of DoD and OSD Components in responding to reports required by other Federal agencies and the development of cost estimates for information collections proposed by those agencies.

3. Definitions

a. Interagency Report. Data or information which is transmitted between or among 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.

b. Interagency Reports Coordinator. The official designated by an agency to: Sign and submit Standard Form 360, Request for Clearance of an Interagency Reporting Requirement;" respond to requests from requiring agencies for interagency reports cost estimates; maintain official agency records on interagency reporting requirements; and serve as liaison between agency components and other agencies on interagency reporting matters.

c. Operating Document. A completed form or other document 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 timesheets, inspection or audit reports, and reports that involve direct command and control of military forces or cryptological activities related to national security.

d. Requiring Agency. An agency establishing an interagency information requirement.

e. Responding Agency. An agency required to respond to an interagency information requirement.

4. Responsibilities

a. Requiring Components

DoD and OSD Components imposing information requirements on other Federal agencies shall:

(1) Develop new and revised interagency reporting requirements in accordance with this Manual.

(2) Obtain GSA approval through WHS/DIOR for each new, revised, or extended interagency reporting as soon as possible;

(3) Review DoD 7750.5-L (reference (c) to decide if a proposed report can be met by an existing report;

(4) Review existing interagency reports for possible improvements when submitting requests to extend clearances;

(5) Provide responding agencies the opportunity to comment on each proposed new or revised interagency reporting requirement;

(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 report exceeds $500,000.

b. Responding Components

DoD and OSD Components responding to information requirements from other Federal agencies shall:

(1) Reply within 30 calendar days to other agencies' written requests for cost estimates concerning their existing or proposed interagency reports;

(2) Respond to approved interagency reports as specified in instructions; and

(3) REFRAIN FROM RESPONDING TO INTERAGENCY REPORTING REQUIREMENTS NOT APPROVED BY GSA AND INFORM WHS/DIOR OF THE UNLICENSED REQUIREMENTS.

5. Coverage

a. Excluded Organizations

The following organizations are exempt from interagency report control licensing:

(1) Legislative branch requirements in statutes or congressional committee requests;

(2) Judicial branch requirements in court orders or other judicial determinations;

b. Exemptions

(1) Interagency reporting requirements for security classified information are exempt. However, interagency reporting requirements for non-security classified information are not exempt, even if such information is later given a security classification by the requesting agency.

(2) Operating documents exchanged between and among Federal agencies.

(3) Presidential requirements in Presidential directives; and

(4) OMB budgetary, program review and coordination, and legislative clearance requirements.

c. Special Circumstances.

Questions concerning the applicability of these exclusions and exemptions shall be directed to WHS/DIOR. In many cases, although the information collection is exempt from interagency licensing procedures, a DoD report control symbol is required because information is collected from the DoD Components and forwarded to the requesting organization.

6. Procedures to License or Revise Interagency Information Requirements

a. Overview

The licensing process involves preliminary discussions with the GSA which should be conducted with the IMCO and the DoD Interagency Reports Coordinator (WHS/DIOR). After preliminary discussions, the process involves the preparation of a justification, collection of cost estimates from responding agencies, consolidation of cost estimates, and the preparation of a Standard Form 360, "Request for Clearance of an Interagency Reporting Requirement," (see Figure D-2). The SF 360 is forwarded to the IMCO, then to WHS/DIOR, and finally to GSA who shall approve or disapprove the request. The preliminary discussions generally provide an excellent indication of GSA's intentions to approve or disapprove the information requirement. Figure D-1 shows the overall flow of the approval process and the organizations responsible for each step in the process.

b. Preliminary Action

(1) Coordinate with IMCO

When it is decided that an interagency report control number is needed, the overall requirement should be discussed with the IMCO to resolve any problems that may surface. If it is necessary, further discussions with the DoD Interagency Report Coordinator should be conducted in preparation for the meeting with GSA.

(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 Standard Form 360, "Request for Clearance of an Interagency Reporting Requirement," (see Figure D-2). The Component IMCO and the DoD Interagency Reports Coordinator shall participate in the discussion. WHS/DIOR shall schedule the meeting with GSA and make the necessary arrangements.

c. Prepare Justification

Following the discussion with GSA, the component shall justify the need for the report. A justification statement, signed by the official who requested the reporting requirement, shall be prepared and attached later to the Standard Form 360. The justification shall:

(1) State why the report is needed and how it will be used;

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

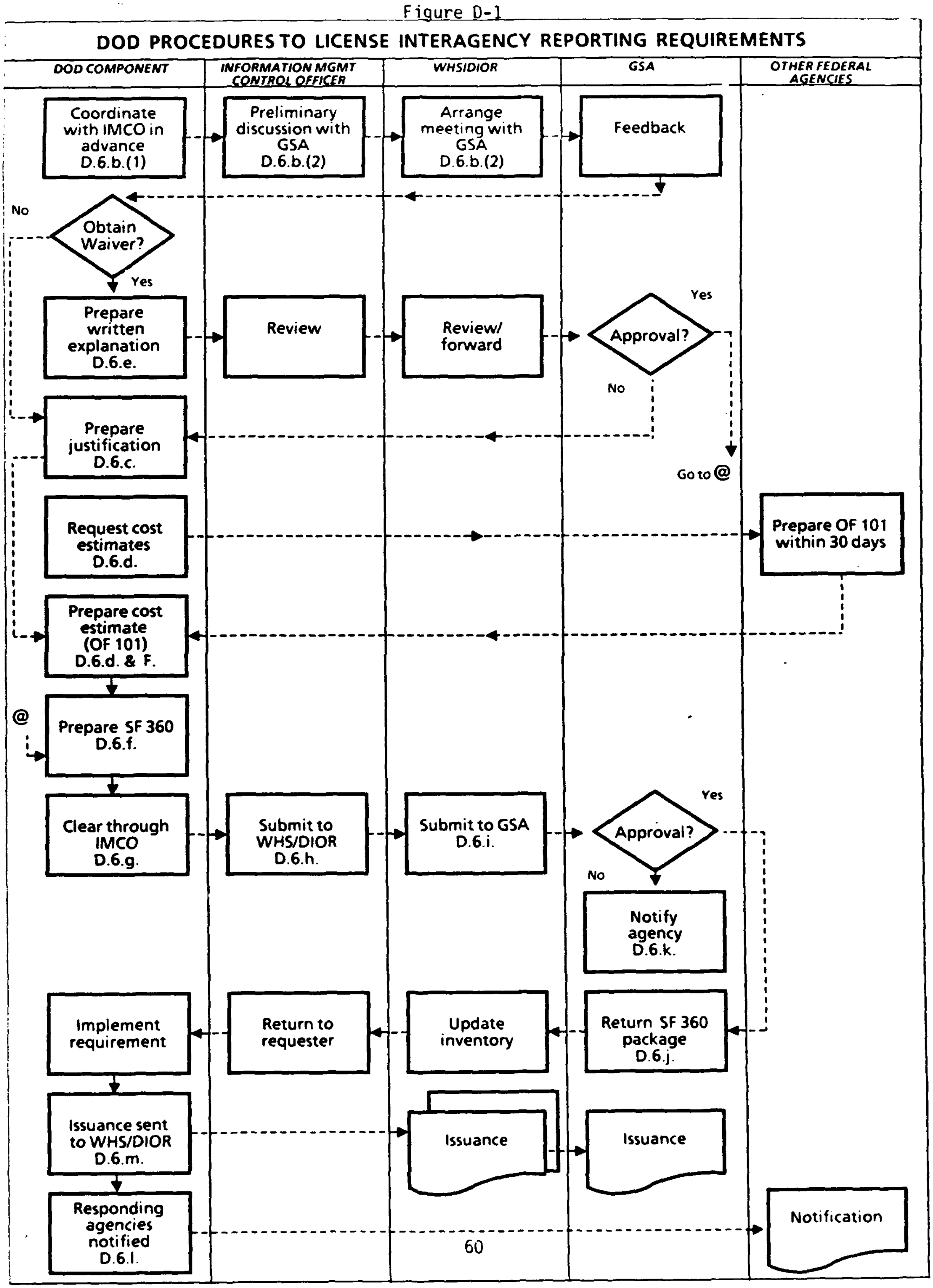
(3) Describe how the program will be affected if the information is not obtained;

(4) Identify any responding agencies that took part in designing, testing, and estimating the cost of the proposed report;

(5) Identify the agencies that agree or do not agree with the proposed report and summarize the reasons why;

(6) Explain how the reporting costs shown on the Standard Form 360 were derived (See Section F. of this Manual).

Figure D-1


DOD PROCEDURES TO LICENSE INTERAGENCY REPORTING REQUIREMENTS
DOD COMPONENT
INFORMATION MGMT CONTROL OFFICER
WHS/DIOR
GSA
OTHER FEDERAL AGENCIES
Coordinate with IMCO in advance D.6.b.(1)
Preliminary discussion with GSA D.6.b.(2)
Arrange meeting with GSA D.6.b.(2)
Feedback
No
Obtain Waiver?
Yes
Prepare written explanation D.6.e.
Review
Review/ forward
Yes
Approval?
No
Prepare justification D.6.c.
Go to @
Request cost estimates D.6.d.
Prepare OF 101 within 30 days
Prepare cost estimate (OF 101) D.6.d. & F.
@
Prepare SF 360 D.6.f.
Clear through IMCO D.6.g.
Submit to WHS/DIOR D.6.h.
Submit to GSA D.6.i.
Yes
Approval?
No
Notify agency D.6.k.
Implement requirement
Return to requester
Update inventory
Return SF 360 package D.6.j.
Issuance sent to WHS/DIOR D.6.m.
Issuance
Issuance
Responding agencies notified D.6.l.
Notification

(7) Describe other reporting plans considered, including:

(a) frequency of reporting;

(b) use of exception reporting;

(c) use of sampling techniques;

(d) selection of respondents;

(e) obligation of respondents to comply;

(f) amount of detail;

(g) format of report; and

(h) method or transmission.

d. Prepare Cost Estimate

The Component shall obtain cost estimates from the Federal agencies who will respond to the proposed information requirement. They are required to respond within 30 days. WHS/DIOR shall in this phase by developing the mailing addresses of the appropriate points of contact and, if necessary, followup on the Federal agencies. Components will receive Optional Forms (OF) 101, "Summary Worksheet for Estimating Reporting Costs," (see Figure F-1) from each of the respondent agencies. The forms must be consolidated and developed into a single OF 101 which includes user costs as well. Section F. of this Manual provides detailed guidance on how a cost estimate should be prepared.

e. Waiver Provisions

Components seeking a waiver from justifying and cost-estimating a report shall send a written explanation of the need for the report and the waiver to WHS/DIOR who shall forward the request to GSA. Waiver requests must include a summary cost estimate in item 9 of Standard Form (SF) 360.

f. Prepare SF 360

The item by item instructions for preparing SF 360 (See Figure D-2) 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

Figure D-2

REQUEST FOR CLEARANCE OF AN INTERAGENCY REPORTING REQUIREMENT

1. FOR GSA USE

a. Interagency Report Control No

b. Currently assigned expiration date

INSTRUCTIONS

Submit original and one copy together with one copy each of the proposed report, supporting directive and justification statement to GSA, NARS, Office of Records Management. See FPMR (CFR 41) 101-11.11 for further instructions.

2. NAME, ADDRESS AND ZIP CODE OF REQUESTING AGENCY

3. TITLE OF PROPOSED REPORTING REQUIREMENT

4. TYPE OF REQUEST

a. ☐ NEW
b. ☐ REVISION
c. ☐ EXTENSION *(No change)*
d. ☐ WAIVER

5. FREQUENCY OF USE

a. ☐ SINGLE TIME
b. ☐ ON OCCASION
c. ☐ WEEKLY
d. ☐ MONTHLY
e. ☐ QUARTERLY
f. ☐ SEMI-ANNUALLY
g. ☐ ANNUALLY
h. ☐ OTHER *(Specify)*

6. REVISIONS AND EXTENSIONS

a. Currently assigned Interagency Report Control No.

b. Currently assigned expiration date:

7. CANCELED OR MODIFIED REPORTS OR FORMS *(List by title and Interagency Report Control or OMB Approval Number any Reports and Forms to be canceled or modified by this Interagency Report)*

8. SUMMARY OF ESTIMATED REPORTING WORKLOAD

a. Number of responding agencies ....
b. Number of times this report submitted annually by each responding agency ....
c. Total number of reports submitted annually (a X b) ....
(Items d and e apply to Interagency Public Reports only)
d. Average number of man-hours required to prepare and transmit one report ....
e. Total number of man-hours required to prepare and transmit reports annually (c X d) ....

9. SUMMARY OF ESTIMATED REPORTING COSTS	REQUIRING AGENCY *(Col. 1)*	RESPONDING AGENCIES *(Col. 2)*	TOTAL *(Col. 1 + 2)*
a. Developmental costs	$	$	$
b. Annual operational costs	XXXXXXXXX	$	$
c. Annual user costs	$	XXXXXXXXX	$

10. SIGNATURE OF INTERAGENCY REPORTS COORDINATOR

DATE

FOR GSA USE

1. DISPOSITION OF REQUEST BY GSA, NARS, OFFICE OF RECORDS MANAGEMENT

a ☐ APPROVED
b ☐ DISAPPROVED *(See attachment)*
c. ☐ RECOMMENDED MODIFICATION *(See attachment)*

REMARKS

12 SIGNATURE OF INTERAGENCY REPORTS MANAGEMENT OFFICER

DATE

Standard Form 360
July 1973
Prescribed by GSA, FPMR (CFR 41) 101-11 11

regarding the type of submission.

Item 5: Frequency of Use. Mark the appropriate box(s) regarding the frequency of the report.

Item 6: Revisions and Extensions. Self-explanatory.

Item 7: Canceled or Modified Reports or Forms. List by title and interagency report control number (or OMB control number) any reports or forms to be canceled or revised by this interagency report.

Item 8: Summary of Estimated Reporting Workload. Self-explanatory.

Item 9: Summary of Estimated Reporting Costs. The cost figures for this section are taken from OF 101 (see Figure F-1) prepared by DoD and the responding Federal agencies.

9a, Column 1. These totals are derived from the DoD Optional Form 101 which was prepared in accordance with Section F. of this Manual.

9a. Column 2. This figure is the total of all responding agencies taken from Item 5f of the Optional Forms 101 submitted by the responding agencies.

9a. Total Column. Self-explanatory.

9b. Column 2. This figure is the total of all responding agencies taken from the Operational Costs section of OFs 101.

9b. Total Column. Self-explanatory.

9c. Column 1. This figure is taken from the User Costs section of OF 101.

9c. Total Column. Self-explanatory.

Item 10: Signature of Interagency Reports Coordinator. Self-explanatory.

g. Clear Through Component IMCO

Submit the SF 360 package (original and two copies) through the IMCO who shall check it for completeness, duplication, proper coordination, and compliance with GSA requirements agreed to during the initial discussions. In addition, the IMCO shall ensure that DoD forms management and data standardization programs have been embodied into the request, as appropriate.

h. Submission to WHS/DIOR

(1) Reports Management Criteria

The DoD Interagency Reports Coordinator reviews all the DoD 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, DoD Interagency Reports Coordinator shall contact the IMCO for the office submitting the package and try to resolve the problem. If the problem cannot be resolved by an informal means, then the package is returned with a written explanation. The specific items checked are:

(a) Three copies of package.
(b) SF 360 is complete.
(c) OF 101 is correct.
(d) Justification is adequate.

(2) Privacy Act

WHS/DIOR reviews the proposed information collection for compliance with the Privacy Act of 1974 as required by DoD 5400.11-R (reference (p)). If WHS/DIOR is unable to ensure that the proposed collection complies with the law in all respects, a memorandum requesting review, with the SF 360 package as an enclosure, is forwarded to (1) the Defense Privacy Office if a DoD Component is involved or (2) WHS, Correspondence and Directives Directorate, Records Management Division, if an OSD Component is involved.

(3) DoD Forms Program

WHS/DIOR reviews the proposed information collection to ensure that any format, document, or computer screen requiring fill-in data with an annual usage of 100 or more, is controlled as a form. Form types for interagency reports can be Standard Forms, Optional Forms, DD Forms, or DoD Component forms. Contact the appropriate Component Forms Management Officer if more information is needed. They are listed in DoD 5000.21-L (reference (q)).

(4) DoD Data Standards Program

Interagency information requirements will be reviewed for compliance with existing DoD standard data elements and codes as published in DoD 5000.12-M (reference (r)). The Federal Information Processing Standards (FIPS), with which DoD must comply, have been incorporated into DoD 5000.12-M.

i. Submission to GSA

WHS/DIOR shall submit the original and one copy of the Standard Form 360 to GSA. Upon receipt of the Standard Form 360, GSA shall review the proposal for demonstrated need, cost effectiveness, systems design, and coordination with other clearance authorities, and shall ensure that the report does not duplicate existing interagency reports.

j. Approval/Disapproval

If GSA approves the report, they shall assign an interagency report control number and an expiration date, return the Standard Form 360 to the DoD Interagency Reports Coordinator, and enter the report in the GSA Inventory of Approved Interagency Reports. When GSA rejects an agency's request for a report, GSA shall advise the agency, in writing, of the reasons for the rejection.

k. Appeal Provisions

There are no written appeal provisions in any of the written implementing regulations from GSA. If a Component wants to appeal the GSA decision, the IMCO and WHS/DIOR should be consulted to determine the best approach for the Department of Defense to obtain a favorable decision.

l. Notification of Approval to Responding Agencies

The requiring agency shall notify responding agencies of approved reports by directive or by correspondence. The directive publishing the requirement shall include the following information: (a) purpose; (b) report title; (c) whether it is mandatory or voluntary; (d) interagency report control number; (e) report format; (f) preparation instructions; (g) responding agencies; (h) frequency of use; (i) number of copies; (j) mailing address; (k) due date; (l) name and telephone number of contact person; and (m) for mandatory reports, whether it requires a negative response.

m. Submission of Issuance to GSA

DoD Components shall furnish two copies of the implementing directive, instruction, or correspondence to WHS/DIOR who shall retain one copy and forward the other copy to GSA.

7. Procedures to Extend an Interagency Information Requirement

GSA shall notify agencies 90 calendar days in advance of the expiration date of a requirement. Agencies shall submit requests for extensions of revised reports at least 60 calendar days before the expiration date. DoD Components must have their requests for extensions to WHS/DIOR one week before the GSA 60 day deadline.

8. Procedures to Cancel an Interagency Information Requirement

If an interagency report is no longer needed, the Component shall notify GSA, through the DoD Interagency Reports Coordinator, and responding agencies by directive or correspondence. GSA shall discontinue the requirement on the expiration date unless it receives a request for an extension.

9. Interagency Report Inventory

a. 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 data base is used to publish DoD 7750.5-L (reference (c)) (See paragraph C.9.c., below), to screen proposed information collections for duplication, to perform workload assessments, to support IRM reviews, and for general reports management activities.

b. GSA Publication

The GSA publishes the "Inventory of Approved Interagency Reports" on a semi-annual basis. At the present time, WHS/DIOR reviews this publication for new, revised, and canceled interagency reports and makes changes to the WHS/DIOR interagency reports data base. These changes appear in DoD 7750.5-L (reference (c)). A sample page of the GSA listing is shown in Figure D-3.

c. Output Reports

(1) Monthly Reports to IMCO

Every month, WHS/DIOR sends a report to the IMCO which provides the latest status of reports control at the DoD level. GSA is currently providing monthly updates to WHS/DIOR on interagency reports and these changes are incorporated into the monthly report to the IMCOs.

(2) DoD 7750.5-L

(a) This listing is published by WHS/DIOR on January 31 and July 31 of every year and is authorized by DoDD 7750.5 (reference (a)). Its purpose is to identify DoD internal information requirements approved by OSD, interagency reporting requirements approved by GSA, and information collections from the public approved by OMB.

(b) Part II of this listing is divided into two subparts. Subpart IIA is a list of active interagency reports and includes the control number, cancellation date, title,

CONTROL NO.	TITLE	DIRECTIVE	ESTIMATED COSTS	RESPONDENTS	EXPIRATION DATE
DEPARTMENT OF DEFENSE					
0192-DOD-AN	Federal Employees Serving in the Ready Reserve	DOD Directive 1200.7	109,090	All agencies.	9/87
0311-DOD-MO	Station Traffic Handling Report Regulation 76-1, Vol. 1, 6-18; MAC Form 82	Military Airlift Command (MAC)	51,849	DOS,DOT	7/86
1496-DOD-AR	Department of Defense Biennial Voting Questionnaire	50 U.S.C. 1451-1476	46,874	AID,DOA,DOI,DOJ,DOS,DOT,IA,PCC, TD,VA	1/89
DEPARTMENT OF EDUCATION					
0327-ED-AN	Interagency Rehabilitation Research Information System Report	P.L. 95-602 Sec. 203(c)	53,860	Agencies Sponsoring or conducting research on the Rehabilitation of Handicapped Individuals.	1/88
1270-ED-AN	Vending Facility Activity Under the Randolph-Sheppard Act	34 CFR 395.38	71,515	DOD,DOE,FRS,GSA,NAS,PS,TD,TVA	6/88
DEPARTMENT OF ENERGY					
0238-DOE-WK	Weekly Imports Report	P.L. 93-275; P.L. 93-159; (OMB 1905-0072) DOE Form EIA-804	1,872	DOD	1/86
0239-DOE-MO*	Monthly Imports Report	P.L. 93-275, DOE Form ERA-60 (OMB 1903-0054)	1,200	DOD	8/85
0300-DOE-AN*	Geothermal Energy Research, Development and Demonstration Program Annual Report	P.L. 93-410	69,800	DOA,DOC,DOD,DOI,EPA,HUD,TD	6/85

* Pending

Figure D-3

associated forms, authority, and respondents. Subpart IIB is a list of the interagency reports canceled in the last two years. Sample pages from Subparts IIA and IIB of this listing are shown in Figures D-4a and D-4b.

Figure D-4a

Part IIA - List of Recurring Interagency Reports

Interagency Control Number	Expir Date (YYMMDD)	Title of Report	Associated Forms	Auth for Report	Respondents
1492-DOE-QU	850930	FEDERAL ENERGY USAGE REPORT		FPMR 101-20.116-6 E.O. 12003	CAB,DOA,DOC,DOD,DOE,DOI,DOJ,DOL,DOS,DOT,ED,EPA,FCC,GSA,HHS,HUD,ICC,NAS,NSF,OPM,PCC,PS,SBA
* Federal Agency: DOI					
0078-DOI-QU	860531	QUARTERLY REPORT ON STOCKS, RECEIPTS, PRODUCTION, & DISPOSITION OF SILVER	DOI 6-1073-QA	OMB 1032-0004	DOD
0223-DOI-XX	860930	WATER DATA SOURCES DIRECTORY REGISTRATION	DIRECTORY REGISTRATION FORM WITH INSTS	OMB 1028-0026	CEQ,DOA,DOC,DOD,DOE,DOI,DOT,EPA,NRC,TVA
0224-DOI-XX	860930	INVENTORY OF HYDROLOGIC DATA	9-1981-1,1,2,4,5,6,8,& 9	OMB CIRCULAR A-76 (OMB 1028-0013)	CEQ,DOA,DOC,DOD,DOE,DOI,DOT,EPA,HUD,PCC,TVA
0240-DOI-XX	860630	FEDERAL AGENCY HELIUM REQUIREMENTS ESTIMATES TO YEAR 2005		50 USC 167M	DOC,DOD,DOE,NAS,NSF
1375-DOI-AN	870131	AREAL INVESTIGATIONS AND MISCELLANEOUS ACTIVITIES	FORM A-1	OMB CIRCULAR A-67 (OMB 1028-0014)	DOA,DOC,DOD,DOE,DOI,DOT,EPA,FEM,HUD,IBW,NRC,TVA
* Federal Agency: DOJ					
0302-DOJ-AR	861231	FRAUD AND CORRUPTION TRACKING (FACT) SYSTEM	FORM CRM-162	FACT SYSTEM REVIEW PACKAGE	AID,DOA,DOC,DOD,DOE,DOI,DOJ,DOL,DOS,DOT,ED,EPA,GSA,HHS,HUD,NAS,SBA,TD,VA
1396-DOJ-MO	860430	COLLECTIONS TO DEPOSIT FUND ACCOUNT 15X6696		INS ADMINISTRATIVE MANUAL, SECTION 2796	TD
* Federal Agency: DOL					
0063-DOL-QU	890731	CONTINUATION OF PAY FOR DISABLING, JOB RELATED TRAUMATIC INJURIES SUSTAINED BY FEDERAL EMPLOYEES		FEDERAL EMPLOYEES COMPENSATION ACT, AS AMENDED BY P.L. 93-416 20 CFR 10.206	AGENCIES HAVING EMPLOYEES IN A CONTINUATION OF PAY STATUS DURING THE PREVIOUS CY
0144-DOL-QU	860630	EMPLOYMENT, WAGES, AND CONTRIBUTIONS REPORT		EMPLOYMENT SECURITY MANUAL, PART III, (OMB 1220-0012)	DOD
0169-DOL-AN	860630	FEDERAL PRODUCTIVITY MEASUREMENT PROJECT		ANNUAL INSTRUCTION PACKAGES	ALL AGENCIES

Figure D-4b

Part IIB - List of Recurring Interagency Reports Cancelled in the Last Two Years

Interagency Report Control Number	Cancellation Date (YYMMDD)	Title of Report	Authority for Report	Forms Associated with Report
0064-DOS-AN	860331	FEDERAL EMPLOYEES SERVING ON TRANSFER OR DETAIL TO OR REEMPLOYED FROM PUBLIC INTERNATIONAL ORGANIZATIONS	E.O. 11552 DOS LETTER REQUEST	
0086-DOC-AN	850930	BIOLOGICAL SIDE EFFECTS PROJECT RESUMES	REPORTING WITH INSTRUCTION	
0089-DOD-SA	850524	TELECOMMUNICATIONS INFORMATION IN SUPPORT OF FEDERAL EMERGENCY PLAN D	PRESEIDENTIAL MEMO 8/21/63	
0157-OPM-XX	860331	HOUSING COSTS OF FEDERAL CIVILIAN EMPLOYEES IN NON-FOREIGN ALLOWANCE AREAS	E.O. 10,000, AS AMENDED, AND FPM SUPPLEMENT 990-1	
0161-DOE-XX	841231	UNIFORM CONTRACTOR REPORTING GUIDELINES	DOE UNIFORM CONTRACTOR REPORTING SYSTEM (UCRSG) VOL I, DOE/CR-0001/2 DOE ORDER 1330.2	
0165-DOA-MO	850930	PROCUREMENT BY DEFENSE SUBSISTENCE SUPPORT CENTER	E.O.11490	
0172-CEQ-AN	860331	NATIONAL ENVIRONMENTAL POLICY ACT (NEPA) LITIGATION SURVEY	ANNUAL LETTER FROM CEQ	SF 214
0181-GSA-XX	850331	PERSONNEL AND SPACE IN THE NATIONAL CAPITAL REGION	FPMR 101-17.202	GSA 1644
0216-DOS-AN	860331	REPORT OF FOREIGN GIFTS & DECORATIONS	5 USC 7342	
0222-GSA-AN	841231	FEDERAL BUILDING FUND BUDGET ESTIMATES FOR SPACE AND RELATED SERVICES	FPMR 101-21 AND ANNUAL INSTRUCTIONS TO AGENCIES	
0245-GSA-SA	850131	TELEPROCESSING SERVICES PROGRAM (TDP) SEMI-ANNUAL REPORT OF INVOICE AUDIT VERIFICATION	TDP HANDBOOK FPR 1-4.12 GSA FORM 3416	GSA 3416
0256-OPM-OT	841231	REPORT OF POSITION IN THE EXCEPTED AND SENIOR EXECUTIVE SERVICES AS OF SEPTEMBER 1, 1984	MEMO 10/11/84 TO AGENCY HEADS FROM OPM	
0262-GSA-AR	841231	REPORT OF NON-CONTRACT PURCHASES AT LOWER PRICES THAN BY MULTIPLE-AWARD SCHEDULE CONTRACTS	FPMR 101-26.4	
0307-GSA-AN	860331	ANNUAL SPACE REDUCTION PLAN	FPMR 101-17.303	
0308-GSA-AN	841231	WORK SPACE MANAGEMENT PLANS	FPMR TEMPORARY REGULATION 101-18.500	
0318-DOL-XX	860331	ES-202 INDUSTRIAL CLASSIFICATION REPORT	29 USC 2 (OMB 1220-0032)	BLS 3023-A-11

E. DOD INTERNAL INFORMATION REQUIREMENTS

1. Purpose

The purpose of this section is to provide the necessary procedures for DoD Components to review, develop, revise, and cancel their DoD internal information requirements. The procedures for DoD Components, other than OSD, are contained in their own directives, instructions, and regulations which are cross-referenced in subsection E.5 below. Detailed procedures for OSD Components begin in subsection E.6.

2. Scope

This Section covers the procedures for licensing and reviewing DoD internal information requirements imposed by OSD on the DoD Components under the authority of DoD Directive 7750.5 (reference (a)). It also covers the procedures for licensing and reviewing DoD internal information requirements imposed by the DoD Components on their subordinate commands to the extent that: a) exemptions are specified in subsection E.4., b) their internal directives, instructions, and regulations are cross-referenced in paragraph E.5.a., and c) their internal indexes and/or listings of internal information requirements are referenced in paragraph E.5.b.

3. Definitions

a. <u>DoD Component Internal Information Requirements</u>. Those which are contained within the DoD Component and/or licensed by that Component. Examples of these would be OSD internal, Army internal, Air Force internal, Navy internal, DLA internal, etc. information requirements.

b. <u>Internal Report</u>. 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 data or information system. 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.

c <u>Operating Document</u>. A completed form or other document 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 timesheets, inspection or audit reports, and reports that involve direct command and control of military forces or cryptological activities related to national security.

4. Exemptions. The following types of DoD internal information requirements are exempt from the review and approval procedures of this Manual:

a. Substantive intelligence reporting.

b. Operating documents and information or documentation processed and/or transmitted within an operational system. Examples of these 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 echelons such as an Aged Requisition Report are not exempt.

c. Report of findings, recommendations, or actions prepared by an official committee, board, survey team, study group, or task force.

d. Comments or concurrences which 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, or courses of action.

e. Public information releases.

f. Accounting system source documents and output reports shall be justified during the accounting system concept and detailed design phases of development as prescribed in DoD 7220.9-M, Chapter 12. Therefore, the documents and reports shall become an integral part of the accounting system and need not be individually justified or assigned report control symbols.

g. Reports of audit, internal review, investigation of charges, a complaint, a claim or a violation of law or regulation. The following types of reports are not exempt under this paragraph:

(1) Information required to prepare the final published audit report.

(2) Reports of internal reviews when the review is imposed by a higher-echelon command

h. Counterintell gence, personnel security, and other investigative surveys and reports as covered by:

(1) DoD Directive 5200.26 (reference (t)).

(2) DoD Directive 5200.27 (reference (u)).

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

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

When one of the foregoing exemptions is used in an implementing directive, instruction, or regulation, the appropriate section and paragraph of this Manual shall be cited as an authority for the exemption. For example, the appropriate section in a DoD directive or instruction would read as follows:

> "F. Information Requirements.
>
> The reports in this directive are exempt from licensing in accordance with paragraph E.4.b. of DoD 7750.5-M, 'Procedures for Management of Information Requirements.'"

5. DoD Component Procedures

a. Licensing Internal Information Requirements

DoD Components, other than OSD, have their internal procedures for the management and control of internal information requirements. They are as follows:

DoD Component	Document Number	Title of Directive/Regulation
Army	AR 335-15	Management Information Control System
Air Force	AFR 700-11	Management and Control of Information Reports Requirements
Navy	OPNAVINST 5214.7	DON Reports Management Program
OJCS	To be provided	To be provided
DARPA	No Reports	No Reports
DCA	DCAI 630-225-2	Information Services - Information Requirements Management
DCAA	DCAAR 7750.1	Management and Control of Information Requirements and Reports Management
DIA	Unlisted	Unlisted
DIS	DIS 08-6-R	Reports Management Program
DLA	DLAR 5000.12	Management and Control of DLA Information Requirements
DMA	DMAINST 5000.19A	Policies for the Management and Control of DMA Information Requirements (Reports Control)
DNA	DNA Instruction 5000.19B	Policies for the Management and Control of DNA Information Requirements
DSAA	DoD 5105.38-M	DSAA Security Assistance Management Manual - Appendix E.
NSA	Unlisted	Unlisted

b. Indexes of Internal Information Requirements

DoD Components, other than OSD, have their internal indexes or listings of their approved internal information requirements. They are as follows:

DoD Component	Document	Title of Index or Listing
Army	AR 335-11	List of Approved Recurring Management Information Requirements
Navy	OPNAV Notice 5214	N/A
Air Force	AFP 700-16	Index of Headquarters USAF Controlled Reports
OJCS	To be provided	To be provided
DARPA	No Reports	No Reports
DCA	DCAN	Register of Approved Recurring Information Requirements
DCAA	DCAAI 7750.1	Index of DCAA Recurring Reports
DIA	Unlisted	Unlisted
DIS	DIS 08-6-R	Reports Management Program
DLA	DLAH 5000.5	Listing of HQ DLA Recurring Information Requirements
DMA	DMAL 5000.19	List of DMA Recurring Reports
DNA	COMP-1	Register of Approved Recurring Reports
DSAA	DoD 5105.38-M	DSAA Security Assistance Management Manual - Appendix E.
NSA	Unlisted	Unlisted

6. OSD Procedures for Internal Information Requirements

a. Overview

(1) General.

OSD Components imposing information requirements on one or more DoD Components must, unless exempt, obtain a report control symbol (RCS) from WHS/DIOR. This involves the preparation of an SD Form 455, "Request for Approval of Information Collection," (See Figure E-2) and the development of a cost estimate using the procedures in Section F. These cost estimates are coordinated with the affected DoD Components, processed through the Component Information Management Control Officer (IMCO), and finally submitted, with the implementing document, to WHS/DIOR for approval. A process flow diagram of the overall approval process for OSD Components is shown by Figure E-1.

If problems are anticipated with the proposed information collection (e.g. high cost, Privacy Act, complex requirements, etc.) the IMCO should be contacted before starting the licensing process. The IMCO may recommend that initial discussions be conducted with WHS/DIOR to facilitate the approval process.

(2) Coverage.

The procedures in this paragraph apply only to OSD Components. To license DoD internal information requirements imposed by other DoD Components on their subordinate commands, refer to Component internal procedures which are listed in paragraph E.5.a., above.

(3) Special Requirements

On a case-by-case basis, special one-time, high priority, or time-urgent requirements may be approved and symbolized without being subjected to in-depth review and analysis, provided a statement of urgency is included with the SD Form 455, "Request for Approval of Information Collection." An expiration date of short duration shall be assigned until the request for approval document is completed retroactively.

b. Prepare SD Form 455

The instructions for preparing an SD Form 455, "Request for Approval of Information Collection," (See Figure E-2) are listed below. Detailed instructions are provided on the form.

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

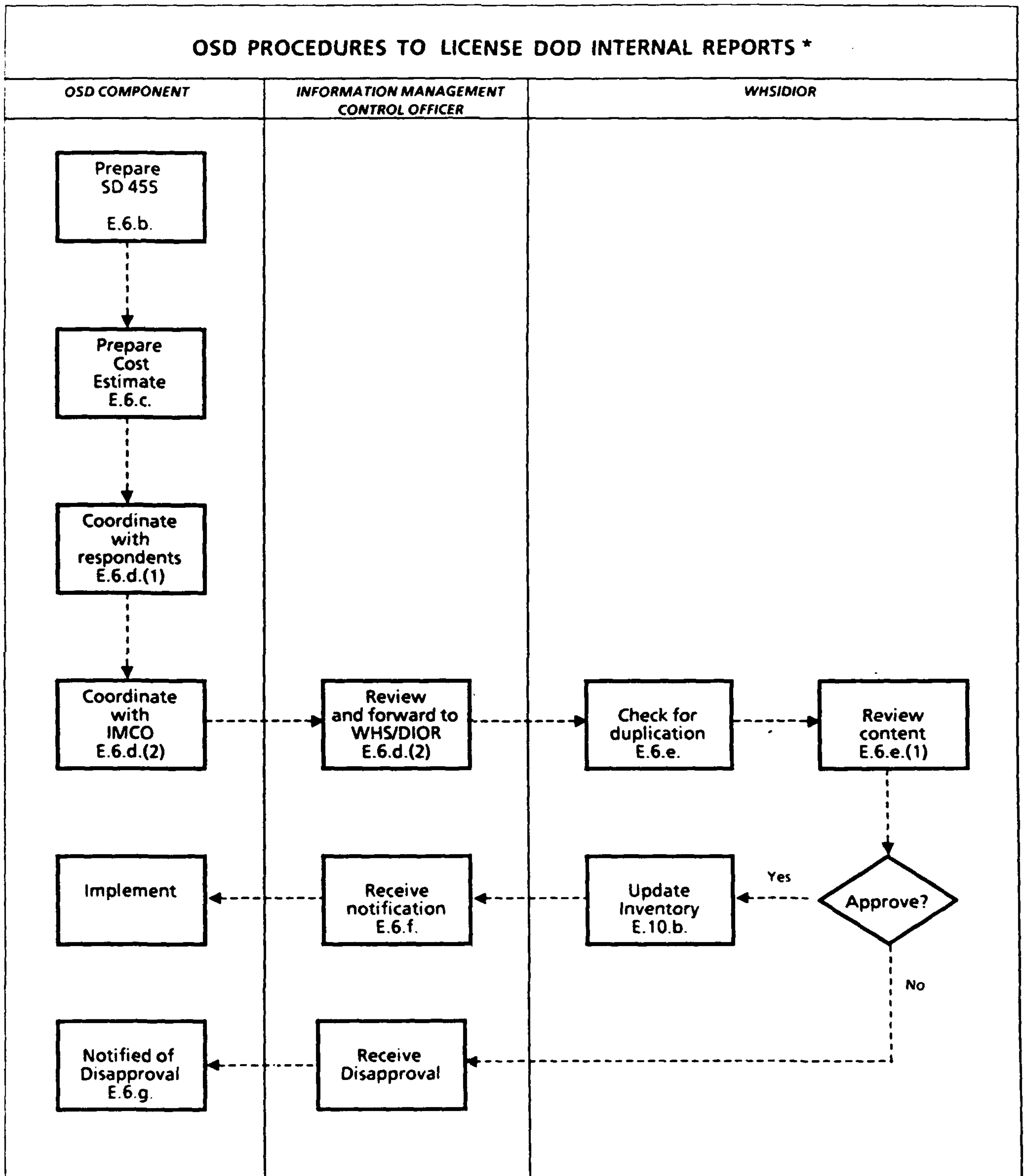
Item 2. Date of Request (YYMMDD). Self-explanatory.

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.

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

Figure E-1



*Other DoD Components must use their own procedures. (See E.5.)

Figure E-2

REQUEST FOR APPROVAL OF INFORMATION COLLECTION

(See instructions on reverse)

1. FROM *(OSD organization name, directorate, and mailing address)*	2. DATE OF REQUEST *(YYMMDD)*

3. INFORMATION REQUIREMENT DATA

a. REPORT TITLE	b *(X one)*		c. EXISTING REPORT CONTROL SYMBOL (RCS) *(If applicable)*
		NEW	
		REVISED	DD-

d. FREQUENCY	e. INITIAL DUE DATE *(YYMMDD)*	f. RELATED REQUIREMENTS *(RCS's)*	g FORM NO.(S) *(If applicable)*	h. SYSTEM RECORDS NO

4. APPLICABLE DOCUMENTS *(List number(s) next to type)*

	(1) PRESCRIBING	(2) REPLACED
a. DOD ISSUANCE		
b. STATUTORY		
c. INTERAGENCY		
d. OTHER *(e.g. Memo)*		
e. FORMS		

5. ESTIMATED COST OF REQUIREMENT

RESPONDENT NAME a	INITIAL ONE-TIME COST b	ANNUAL RECURRING COST NUMBER REPORTS IN YEAR c	COST PER REPORT d	COST PER YEAR e	TOTAL ESTIMATED COST f

6. JUSTIFICATION OF SPECIFIC NEED FOR THIS INFORMATION REQUIREMENT

7. COORDINATION *(Do not complete if this information collection is contained in an approved DoD issuance).*

a NAME	b ORGANIZATION	c. PHONE NO

8. PROJECT OFFICER

a TYPED NAME

b SIGNATURE	c. PHONE NO

9. REQUESTING ORGANIZATION APPROVING OFFICIAL

a TYPED NAME	b SIGNATURE

10. INFORMATION MANAGEMENT CONTROL OFFICER *(IMCO)*

a TYPED NAME	b SIGNATURE

11. FOR USE OF OSD/WHS/DIOR (INFORMATION CONTROL DIVISION)

a. REPORT CONTROL SYMBOL (RCS)	b. EXPIRATION DATE *(YYMMDD)*	c. SIGNATURE	d. DATE SIGNED *(YYMMDD)*
DD-			

SD Form 455, DEC 86

Previous editions are obsolete

RCS or a request for a new information collection.

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

3d. Provide the reporting frequency of the information collection 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. Self-explanatory

3f. Cite existing related report control symbols.

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

3h. If the information requested has a Privacy Act Statement, provide the Component identification and Federal Register citation for the latest system of records notice in which the information will be maintained, e.g. "A0708.03a DAPE, 50 FR 22187, May 29, 1985." (Check with Component Privacy official).

Item 4. Applicable Documents

4a(1). If the reporting requirement originates within DoD, cite the existing or proposed DoD directive, instruction, publication, or memorandum prescribing the information collection.

4b(1). If the reporting requirement is prescribed by Federal statute, cite the statute (i.e. Public Law xxxx, Congress, 10 USC xxxx).

4c(1). If the reporting requirement originates in another Federal agency, provide the agency and prescribing regulation, directive (i.e. Treasury Department Regulation xxx).

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

4a(2) through 4d(2). *List all existing* DoD directives, instructions, publications, memoranda, forms, etc., or non-DoD requirements, to be superseded by this requirement.

Item 5: Estimated Cost of Requirement

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

5b. Provide the costs to set-up the reporting requirement cycle (include cost of personnel, ADP machine time, if applicable, supplies, etc.) from Block 5(f) of the Optional Form 101 (See Section F.).

5c through 5e. Obtain the cost of each report, to include personnel cost (workhours x average cost per work hour), ADP machine time, if applicable, supplies used, etc., from Block 9(f) of the Optional Forms 101. Multiply cost per report x number of reports in year to arrive at 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:

1. Specific need for the requirement and resulting benefits in light of projected costs;

2. Risks or penalties associated with not having the information;

3. The results of examining other sources of information currently available and why such information cannot satisfy the requirement;

4. Less costly alternatives considered for satisfying the requirement and why each was not chosen;

5. How the information is to be used by recipients; and

6. How the need and use warrant frequency requested.

If additional space is needed, attach a continuation sheet.

Item 7. Coordination. Provide the name, organization and telephone number of each using DoD Component concurring with the reporting requirement. Concurrence by all using DoD Components is required before approval. Where concurrence cannot be obtained, the originator shall request that the component concerned provide a statement of the reasons for the nonconcurrence and attach it to the form.

Item 8. Project Officer. Self-explanatory.

Item 9. Requesting Organization Approving Official. The SD Form 455 should be signed by the head or principal deputy of the requesting activity.

Item 10. Information Management Control Officer. The completed SD Form 455 shall be reviewed and coordinated by the originating activity's IMCO. The IMCO is responsible for reviewing the request to ensure that the information collection is valid, not a duplicate, and properly authorized. All requests not coordinated through the originating activity's IMCO shall be returned as incomplete.

Item 11. For Use of OSD/WHS/DIOR (Information Control Division). Self-explanatory.

Upon the completion and coordination of the form, send two copies (the original and one) for approval to the Directorate for Information Operations and Reports, 1215 Jefferson Davis Highway, Suite 1204, Arlington, Virginia 22202-4302. After approval, a copy shall be sent to the IMCO for distribution to the originating activity. Additional information on preparing the SD Form 455 can be obtained from the IMCO or WHS/DIOR.

c. Prepare Cost Estimate

A cost estimate is required for every reporting requirement in accordance with the procedures described in Section F. The Federal Information Resources Management Regulation (reference (b)), paragraph 201-45.103-2 requires that cost estimates for DoD internal reporting requirements be done the same way as reporting cost estimates for interagency reports. Section F. was developed in accordance with reference (b).

d. Coordination

(1) Respondents

Proposed information requirements must be coordinated with the affected DoD Component(s). This can be done through the formal coordination of the implementing issuance or coordination of the formal correspondence implementing 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.

(2) IMCO

The IMCO is the most knowledgeable individual in an organization on the review and approval of information requirements and can save considerable time and unnecessary work. Coordination with the IMCO at the earliest possible time in the process is recommended.

e. Submission to WHS/DIOR

(1) Reports Management Criteria

The DoD Clearance Officer reviews all SD Forms 455, "Request For Approval Of Information Collection." The request is checked for completeness, proper coordination with responding offices, duplicative reporting, mission, and cost effectiveness. If there is a problem with the material submitted, the DoD Clearance Officer shall contact the IMCO for the OSD Component submitting the package and try to resolve the problem. If the problem cannot be resolved by informal means, then the package is returned with a written explanation. The specific items checked are:

(a) Two copies of SD Form 455 Package
(b) SD Form 455 is complete
(c) Justification is adequate
(d) Costing is adequate
(e) Coordination is appropriate
(f) No duplicative reports
(g) Consistent with mission/charter
(h) Information requested is in line with stated need
(i) Request is reasonable
(j) Request is legal

(2) Privacy Act

WHS/DIOR reviews the proposed information collection for compliance with the Privacy Act of 1974 as required by DoD 5400.11-R (reference (p)). If WHS/DIOR is unable to ensure that the proposed collection complies with the law in all respects, a memorandum, with the SD Form 455 package as an enclosure, is forwarded to WHS, Correspondence and Directives Directorate, Records Management Division for review.

(3) DoD Forms Program

WHS/DIOR reviews the proposed information collection to ensure that any format, document, or computer screen requiring fill-in data with an annual usage of 100 or more, is controlled as a form. Contact the appropriate Component Forms Management Officer if more information is needed. They are listed in DoD 5000.21-L (reference (q)).

(4) DoD Data Standards Program

DoD internal information requirements shall be reviewed for compliance with existing DoD standard data elements and codes as published in DoD 5000.12-M (reference (r)). The Federal Information Processing Standards (FIPS), with which the Department of Defense must comply, have been incorporated into DoD 5000.12-M.

f. Approval/Disapproval

If the proposed information requirement is approved, WHS/DIOR shall assign an RCS, notify the appropriate IMCO by returning one copy of the approved SD Form 455, and formally enter the approved requirement into DoD 7750.5-L (reference (c)). If disapproved, WHS/DIOR shall return the two SD Forms 455 with an explanation of the reason(s) for disapproving the request.

g. Appeal Provisions

If the Component is not satisfied with the reason(s) for disapproval of the proposed information collection, the decision may be appealed through proper channels. If the denial cannot be resolved through proper channels and a legal interpretation is involved, the DoD Office of the General Counsel may be requested to provide an opinion.

7. OSD Procedures to Revise DoD Internal Information Requirements

a. Substantial Changes

If an information requirement has changed substantially, a new SD Form 455 must be submitted and, if the cost of the requirement has changed, a new cost estimate must be prepared. Substantial changes involve, for example:

(1) Organizational assignment
(2) Title of information requirement
(3) Frequency (new cost estimate required)
(4) Respondents (new cost estimate required)

(5) Content of collection (new cost estimate required
(6) Other major changes

Substantial changes normally shall require modification of the implementing directives, instructions, or publications. The modified implementing documents must be submitted with the revised SD Form 455.

b. Minor Changes

If an SD Form 455 needs minor changes, they shall be accepted by telephone or by correspondence.

8. OSD Procedures to Cancel an Existing DoD Internal Information Requirement

The Component may cancel an information requirement over the telephone by identifying the RCS and the authority for the cancellation. Memoranda for the record are preferred but not necessary. If this reporting requirement is prescribed by a DoD Issuance, the issuance must be updated to reflect this cancellation.

9. OSD Information Requirement Reviews

a. User Responsibilities

It is the responsibility of the OSD Component 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:

(1) Information requirements are not duplicative

(2) Reporting workload is minimized through the use of sampling or information technology resources

(3) Information needs are clearly identified

(4) Automated system resources are cost-effectively applied in accordance with DoD Directive 7920.1 (reference (v)).

b. Scheduled Review Cycles

(1) Expiration Dates.

DoD internal information requirements prescribed by OSD Components shall be assigned expiration dates no longer than three years from the date of approval by WHS/DIOR. These requirements shall be reviewed on an individual basis when the expiration date is imminent. At that time, the report shall be renewed upon submission of a new SD Form 455, "Request for Approval of an Information Collection," and a cost estimate, or canceled.

(2) Annual Reviews

Annual report reduction goals shall be established each fiscal year by the Assistant Secretary of Defense (Comptroller). During the year as the information requirements approach their expiration dates and are reviewed, report reductions should be realized. Ninety days before the end of the fiscal year, WHS/DIOR shall distribute a report to the OSD Components advising them of the number of reports approved for them as of the beginning of the current fiscal year and the end of the third quarter as well as those which have had frequency changes. If it is clear that a report reduction goal may not be met, OSD Components should review their reports with a view towards meeting the annual report reduction goal by the end of the fiscal year.

10. DoD Internal Information Collection Inventory

a. Overview

WHS/DIOR maintains an inventory of DoD internal reports which includes data such as the RCS, report title, requesting organization, authority, external authority, respondents, form numbers, estimated cost, and other data. This data base is used to publish DoD 7750.5-L (See paragraph E.10.c., below), to screen proposed information collections for duplication, to perform workload assessments, to support IRM reviews, and for general reports management activities.

b. Making Changes to Inventory

Minor changes or errors in the inventory are made by memorandum or telephone to WHS/DIOR. Significant changes to an information collection in the inventory are made by submitting of an SD Form 455, "Request for Approval of Information Collection."

c. Output Reports

(1) Monthly Reports to IMCO

Every month, WHS/DIOR forwards a report to the IMCO which provides the latest status of reports control at the DoD level. It includes a list of DoD internal reports canceled since the last publication and a list of expired DoD internal reports. DoD internal reports are approved currently for a period of three years and are assigned an expiration date.

(2) DoD 7750.5-L

(a) This listing is published by WHS/DIOR on January 31 and July 31 of every year and is authorized by DoDD 7750.5 (reference (a)). Its purpose is to identify DoD internal information requirements approved by OSD, interagency reporting requirements approved by GSA, and information collections from the public approved by OMB.

(b) Part I of this listing is divided into two subparts. Subpart IA is a list of active recurring and one-time DoD internal reports imposed by OSD and includes the control number, expiration date, assigned date, title, associated forms, authority, and respondents. Subpart IB is a list of the DoD internal reports imposed by OSD which were canceled in the last two years. Sample pages from this listing are shown in Figures E-3a and E-3b.

Part IA - List of Recurring and One-Time DOD Internal Reports

Report Control Symbol	Expir Date (YYMMDD)	Assigned Date (YYMMDD)	Title of Report	Associated Forms	Auth for Report	Other Authority	Respondents
* OSD Component · A&L							
A&L(Q)493		630501	REPORTS ON SINGLE MANAGER OPERATIONS		DODI 4100.31		A-N-AF-DLA
A&L(Q)495		630507	UTILIZATION TRANSFERS OF SUPPLY SYSTEMS STOCKS		DODD 4160.21	2015-GSA-AN & 1526-GSA-AN	ALL DOD COMPONENTS
A&L(Q)496		630507	EXCESS AND SURPLUS MATERIEL AT DISPOSAL ACTIVITIES	DD 1143	DODD 4160.21	PL 181-152 SEC 404(D)	ALL DOD COMPONENTS
A&L(AR)501		630531	CONSTRUCTION COSTS	DD 813, 813-1, 813-2	DOD 4270.1-M		ALL DOD COMPONENTS
A&L(A)505		780510	WARTIME PETROLEUM PLANNING DATA	DD 1672	DODD 4140.25		A-N-AF-DLA
A&L(A)506		800616	BULK PETROLEUM STORAGE FACILITIES REPORT		DODD 4140.25		A-N-AF-DLA
A&L(M)510		630702	REPORTS ON DEFENSE PROCUREMENT		DODI 4105.1	10 USC CHAP 137	A-N-AF-DLA
A&L(A)597	881025	851025	EXTRAORDINARY CONTRACTUAL ACTIONS TO FACILITATE THE NATIONAL DEFENSE(PL 85-804)	DD 2483	DODI 4105.54, CANCELED BY DODI 4105.69, APRIL 24, 1986	PL 85-804, FAR PART 50	A-N-AF-DLA-DNA-DMA
A&L(AR)638		831025	DOD PLANT COGNIZANCE PROGRAM		DODI 4105.59		ALL DOD COMPONENTS
A&L(A)641		641208	NON-INDUSTRIAL FACILITIES FOR MOBILIZATION	DD 26-2	DODD 3005.2		A-N-AF-DLA
A&L(AR)642		780510	ACQUISITION AND MANAGEMENT OF INDUSTRIAL RESOURCES		DODD 4275.5	0154-GSA-AN	A-N-AF-DLA
A&L(A)670		830815	SECRETARY OF DEFENSE NATURAL RESOURCES CONSERVATION AWARDS		DODI 4700.2		A-N-AF
A&L(Q&SA)714		840523	REPLENISHMENT PARTS ACQUISITION REPORT		DAR SUPPLEMENT NO. 6		A-N-AF-DLA
A&L(Q)749		660831	ACTIVE INDUSTRIAL EQUIPMENT		DASD(I&L)(MR) MEMOS TO DIR, DLA DTD 17 AUG 66 & 26 AUG 66		DLA
A&L(A)758	870601	840819	STANDARDIZATION ACCOMPLISHMENT REPORT		DODD 4120.19	10 USC 2455	ALL DOD COMPONENTS
A&L(AR)759	870601	840516	DEFENSE STANDARDIZATIONS AND SPECIFICATIONS PROGRAM	DD 1585	DODD 4120.3	10 USC 2455(B)	ALL DOD COMPONENTS

1

Figure E-3a

Part IB - List of Recurring and One-Time DOD Internal Reports Cancelled in the Last Two Years

Report Control Symbol	Cancellation Date (YYMMDD)	Title of Report	Associated Forms	Auth for Report	Other Authority	Respondents
MIL(Q)559	840829	ARCHITECT-ENGINEER CONTRACTS OVER $100,000 AWARDED DURING THE QUARTER		ASPR, PART 4, SEC. 18		A-N-AF
RA(A)579	840918	REVISION OF DOD LIST OF CRITICAL MILITARY SKILLS		DODI 1200.7	WHITE HOUSE	A-N-AF
RA(M)603	840918	MONTHLY REPORT OF RESERVES NOT ON ACTIVE DUTY		DODI 7730.18	STAT	A-N-AF
RA(SA)604	840918	RESULTS OF READY RESERVE SCREENING PROGRAM		DODI 7730.16	STAT	A-N-AF
RA(A)605	840918	PARTICIPATION IN AND STATUS OF RESERVE TRAINING		DODI 7730.16	STAT	A-N-AF
MIL(SA)633	840829	CRITERIA FOR IMPROVEMENT, REPLACEMENT, RETENTION AND DISPOSITION OF SUBSTANDARD FAMILY HOUSING		DODI 4165.39		ALL DOD COMPONENTS
COMP(A)659	860715	REPORTING OF PERSONNEL & PAYROLL OUTLAYS BY OPERATING LOCATION STATE		DODI 7710.3	REPLACED BY COMP(A)1600	A-N-AF
MIL(A)665	840829	DETERMINATION OF FAMILY HOUSING REQUIREMENTS		DODI 4165.45		ALL DOD COMPONENTS
MIL(Q)802	840829	STATUS OF MAJOR RESERVE FORCES FACILITIES CONSTRUCTION PROJECTS	DD 1405	DODD 1225.5		A-N-AF
R&E(SA)965	840824	MAGNETIC TAPE (OR PUNCHED CARDS) OF GEOGRAPHIC DATA IN PRIME CONTRACT ACTIONS OF LESS THAN $10,000 EACH		DODI 4105.1	OEO	A-N-AF-DLA
RA(A)1024	840918	MATERIAL FOR ANNUAL REPORTS ON RESERVE FORCES		DODI 7700.2	STAT SEC 264(C) TITLE 10 USC	A-N-AF
MIL(AR)1073	840829	CONSOLIDATION OF REAL PROPERTY MAINTENANCE ACTIVITIES AT DOD INSTALLATIONS IN VARIOUS AREAS		OASD(I&L) MEMOS TO ASST SECYS MILDEPTS (I&L) DTD 10 FEB & 18 FEB 71 ACTG ASD)I&L) MEMO TO		A-N-AF
MIL(Q)1.04	840829	QUARTERLY REPORT OF WOMEN IN POSITIONS AT GS-13 AND ABOVE (OR EQUIVALENT)		OASD(MRA&L) MEMO DTD 9 JUL 71		ALL DOD COMPONENTS

Figure E-3b

F. COST ESTIMATING PROCEDURES

1. Overview

a. General.

Management needs cost estimate information to decide if the expected value of a reporting requirement is worth the cost of collecting the information. The costing methods provided in this Section are used to compute the costs for the collection of information and use of DoD internal, interagency, and public information requirements as prescribed by paragraph 201-45.103-2, Federal Information Resources Management Regulation (reference (b)). These methods are further described in the GSA information resources management handbook, "Reports Management" (reference (w)). Each Component shall maintain and make available for review the supporting documentation and cost estimating worksheets for all reporting systems. Reporting system cost information shall be updated every three years or whenever a major change in the reporting system occurs.

b. Scope

The costing methods of this subsection apply to the DoD costs associated with the collection and use of information collected from the public, interagency information collections, and all internal DoD information requirements and covers the preparation of routine cost estimates. Full cost/benefit analyses are not covered in this Manual.

2. Costing Alternatives

Cost estimates are needed to decide if the expected value of the information is worth the cost of obtaining it. Components shall identify, using the following cost alternative(s), the method(s) used to prepare the reporting cost estimates:

a. Pilot testing (estimate based on actual costs collected) shall be used when there is high cost reporting, full scale mechanized systems, data banks, a large number of data elements, or a new data collection system;

b. Factoring (estimate based on actual costs previously collected for a comparable report) shall be used when there is medium to low cost reporting, revision of a previously costed report, high degree of experience with comparable reports made by the same (one or a limited number) responding agencies, or cost is easy to compare with actual cost for a similar information collection;

c. Sampling (estimate based on a representative selection of responding agencies) shall be used when there is low to high cost reporting, large number of respondents, or new reports;

d. Technical estimates (estimate based on experience) shall be used when there is low cost reporting, one-time reports, or a limited number of respondents.

3. Costing Accuracy

The importance of the cost estimate to management decision-making shall have a direct bearing on the degree of accuracy that needs to be sought in the estimating. Management normally is more concerned with accuracy of estimates in the case of a high-cost, recurring report than in the case of a relatively inexpensive, one-time report. When the benefits of a report are not clearly and substantially beyond the probable costs, greater precision is necessary in order to permit a valid cost effectiveness evaluation.

4. Costing Methods

a. Routine Cost Estimate

DoD internal, interagency, and public information collections require cost estimates to be prepared using the appropriate costing alternatives and accuracy levels described in the previous two sections. The procedures of this Manual address the preparation of routine cost estimates.

b. Full Cost/Benefit Analysis

If an information collection or system is considered to be "major" by the senior IRM Official or Representative of the DoD Component sponsoring the reporting activity, a full cost/benefit analysis, in lieu of a routine cost estimate, is required. DoD Instruction 7041.3 (reference (x)), or the appropriate DoD Component implementing instruction or regulation, is to 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.

5. Excluded Costs

a. Feeder reports when the feeder can exist without the reporting system.

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

6. Cost Estimating Procedures

The steps to develop a cost estimate are as follows:

a. Use Optional Form (OF) 101, "Summary Worksheet For Estimating Reporting Costs," Optional Form 101, Figure F-1, to consolidate the cost data.

Figure F-1

SUMMARY WORKSHEET FOR ESTIMATING REPORTING COSTS

REPORT SYMBOL	REPORT TITLE	ESTIMATE PREPARED BY	DATE

FACTORS		COSTS ($)					
REPORTING CATEGORIES	REPORTING ACTIVITIES	DIRECT PERSONNEL (a)	OVERHEAD (___ % of column (a)) (b)	DIRECT EQUIPMENT (c)	DIRECT MATERIAL (d)	OTHER DIRECT COSTS (e)	TOTAL (a + b + c + d + e) (f)
DEVELOP-MENTAL COSTS	1 Specification of Reporting Requirement						
	2 Analysis of Reporting Requirement						
	3 Design of Reporting System						
	4 Installation of Reporting System						
	5. DEVELOPMENTAL COSTS	(Add totals in column f)					
OPERA-TIONAL COSTS	6 Data Collection						
	7 Data Processing						
	8 Data Transmission						
	9. OPERATIONAL COSTS FOR ONE REPORT	(Add totals in column f)					
	10. ANNUAL OPERATIONAL COSTS	(Costs for one report multiplied by frequency per year)					
USER COSTS	11 Refining, Interpreting, and Analyzing Information Received						
	12 Reading, Reviewing, Discussing, and Documenting Information Presented						
	13. USER COSTS FOR ONE REPORT	(Add totals in column f)					
	14. ANNUAL USER COSTS	(Costs for one report multiplied by frequency per year)					

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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b. Collect the cost data using one or more of the costing alternatives described in subsection F.2., above.

c. Group the cost data by the following reporting activities (developmental, operational, and user). Not all of these activities apply and in some cases additional ones may be added.

(1) Developmental activity is work on new reports or modification of existing reports. Include in the developmental cost, modifications made to feeder reports.

(2) Operational activity is on-going work, such as data collection, data processing, and data transmission. Include in the operational costs, modifications made to feeder reports.

(3) User activity is work performed by the office which imposed the requirement. It includes activities such as refining, reviewing, analyzing, and documenting.

d. Categorize the cost data by the following types of resources used (direct personnel cost; overhead cost; direct equipment, material and supply cost; and other direct cost):

(1) Direct Personnel Costs are the cost 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 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 cost is 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 or a factor of 0.26 (26 percent) may be used.

(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 subparagraph F.6.d.(3), below, then applies. Otherwise, the overhead rate should be computed as follows:

(a) 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).

(b) Compute the direct mission cost by

subtracting the total overhead cost from the office's total annual budget.

(c) Compute the overhead rate by dividing the total overhead cost by the direct mission cost.

(d) For example, if the overhead cost including salaries, fringe benefits, supplies, space and utilities is $100,000 and the office's total 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 x 0.67).

(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.

(a) Equipment costs include acquisition, maintenance, transportation, and installation. To compute the equipment cost, 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.

(b) Direct Material and Supply Costs are the actual costs of these items used for the information requirement at hand. Examples are paper, ribbons, forms, and other items.

(4) Other Direct Cost is cost other than direct equipment, material, and supply cost. These costs consist of purchased services or activities for which fees are charged.

Enter the cost information on the Optional Form (OF) 101, "Summary Worksheet For Estimating Reporting Costs," Figure F-1 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 Users Cost (Item 14(f)).

7. Sample Cost Estimate

The purpose of this subsection is to present a complete example of a cost estimate prepared for a new reporting system. It utilizes OF 101 and implements the costing methods presented in subsection F.6., above. IMPORTANT: Assume there is ONE REPORT PER YEAR in this example. 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.

a. Hourly Rate. Given the 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.

GS Grade	Salary	Hourly Rate
13/5	$42,611	$20.42
12/5	29,897	14.33
7/5	20,200	9.68
4/5	14,578	6.99

b. Direct Personnel Costs (Column (a), OF 101). Using the rates determined in the preceding step, and the estimated labor hours by GS grade to do 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 apprcpriate items under Column (a) of the OF 101.

Developmental Costs		Labor Hrs		Fringe Benefit		Hourly Rate		Total Cost
Specification	GS 13-	8 hrs	x	1.26	x	$20.42	=	$206
	GS 4-	1 hrs	x	1.26	x	$ 6.99	=	9
Analysis	GS 13-	16 hrs	x	1.26	x	$20.42	=	412
Design	GS 12-	16 hrs	x	1.26	x	$14.33	=	289
Installation	GS 12-	40 hrs	x	1.26	x	$14.33	=	722
Operational Costs								
Data Collection	GS 7-	4 hrs	x	1.26	x	$ 9.68	=	49
Data Processing	GS 7-	2 hrs	x	1.26	x	$ 9.68	=	24
User Costs								
Analyzing	GS 12-	16 hrs	x	1.26	x	$14.33	=	289
Presenting	GS 13-	40 hrs	x	1.26	x	$20.42	=	1029
	GS 4-	8 hrs	x	1.26	x	$ 6.99	=	70

c. Total Overhead Cost. If an overhead rate for the organizations involved in the reporting activity is 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:

Items	Overhead Costs
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

d. 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

e. Overall Overhead Rate. The overhead rate would thus be computed as follows:

$1,286,000/$1,948,000 = 0.66

f. 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 b. above and multiplying by the overhead rate (0.66 in our example). The calculations are as follows:

Developmental Cost		Overhead Cost
Specification	(217 x 0.66) =	$143
Analysis	(412 x 0.66) =	272
Design	(289 x 0.66) =	191
Installation	(722 x 0.66) =	477
Operational Cost		
Data Collection	(49 x 0.66) =	32

Data Processing	(24 x 0.66) =	16
User Cost		
Analyzing	(289 x 0.66) =	191
Presenting	(1,099 x 0.66) =	725

These figures can now be entered into Column (b) of the OF 101.

g. Direct Equipment Costs (Column (c) of OF 101). Assume there is a computer and associated peripherals that will be used 20 percent of the total available time on the machine during the development of the reporting system which 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 per annum maintenance. Compute the equipment costs as follows:

Annual Amortized Computer Cost	= $95,000 / 5	= $19,000
Annual Computer Maintenance		= $ 1,000
Total Annual Computer Cost		= $20,000
Prorated Cost of Development	= $20,000 x .2	= $ 4,000
Prorated Annual Oper Costs	= $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).

h. Direct Material Costs (Column (d), OF 101). Assume that $1,000 worth of pre-printed forms must be purchased each year to do the data collection. Enter $1,000 in Item 6(d) of the OF 101.

i. 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).

j. 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.

k. Sample OF 101. A completed OF 101 based on the foregoing example is shown in Figure F-2.

Figure F-2

SUMMARY WORKSHEET FOR ESTIMATING REPORTING COSTS

REPORT SYMBOL	REPORT TITLE	ESTIMATE PREPARED BY	DATE
COMP(A)XXXX	Annual Report of Transmissions	I. M. Estimator	861101

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)
DEVELOP-MENTAL COSTS	1. Specification of Reporting Requirement	217	143	-	-	-	360
	2. Analysis of Reporting Requirement	412	272	-	-	-	684
	3. Design of Reporting System	289	191	-	-	-	67,480
	4. Installation of Reporting System	722	477	4,000	-	43,000	48,199
	5. DEVELOPMENTAL COSTS	*(Add totals in column f)*					116,723
OPERA-TIONAL COSTS	6. Data Collection	49	32	-	1,000	48,000	49,081
	7. Data Processing	24	16	2,000	-	-	2,040
	8. Data Transmission	-	-	-	-	-	-
	9. OPERATIONAL COSTS FOR ONE REPORT	*(Add totals in column f)*					51,121
	10. ANNUAL OPERATIONAL COSTS	*(Cost for one report multiplied by frequency per year)*					
USER COSTS	11. Refining, Interpreting, and Analyzing Information Received	289	191	-	-	-	480
	12. Reading, Reviewing, Discussing, and Document [illegible] Information Presented	1,089	725	-	-	-	1,824
	13. USER COSTS FOR ONE REPORT	*(Add totals in column f)*					2,304
	14. ANNUAL USER COSTS	*(Cost for one report multiplied by frequency per year)*					2,304

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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8. Other Methods

Any forms, methods, or shortcuts which DoD Components may devise are likely to be acceptable routine cost estimates if they measure up to the following standards:

a. Developmental, operational, and user costs and related reporting activities are considered.

b. Accepted sampling methods are used.

c. The full range of resources expended in reporting -- personnel, overhead, material, equipment, and others -- are included in estimates of reporting costs.

d. 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.

e. Estimates of personnel costs include the salary cost of an employee's non-productive as well as his or her productive time and also include the cost to the Government of insurance and retirement plans.

f. Estimates of the equipment costs of reporting are based on a pro-rated share with other uses made of the equipment.

g. Certain basic work operations of an organization and certain feeder reports, while essential to a particular reporting requirement, are independent in the sense that they would continue to exist if the reporting requirement were discontinued. Such independent operations and feeder reports are excluded from the estimated costs of the reporting requirement.

h. Shortcuts for estimating reporting costs may be used to reduce the expense of estimating if it can be demonstrated that they provide an adequate degree of reliability, validity, and accuracy.

i. A summary worksheet with supporting papers is retained for each estimate.

DEPARTMENT OF DEFENSE
PUBLICATION SYSTEM

CHANGE TRANSMITTAL

OFFICE OF THE SECRETARY OF DEFENSE
Assistant Secretary of Defense
(Comptroller)

CHANGE NO. 1
DoD 8910.1-M
September 30, 1987

DoD PROCEDURES FOR MANAGEMENT OF INFORMATION REQUIREMENTS

The Deputy Assistant Secretary of Defense (Administration), Office of the Assistant Secretary of Defense (Comptroller), has authorized the following changes to DoD 7750.5-M, "DoD Procedures for Management of Information Requirements," November 1986:

PAGE CHANGES

Remove: Pages viii, ix, 11, 12, and 36 through 41

Insert: Attached replacement pages viii, ix, 11, 12, and 36 through 41

Changes appear on pages viii, 11, 37, and 40 and are indicated by marginal asterisks. Pages 38 and 39 are revised completely. Executive Order 12036 (reference (j)) on page viii is revoked by Executive Order 12333 and the statement, (hereby revoked), is added after reference (j) to indicate the revocation.

EFFECTIVE DATE

The above changes are effective immediately.

James L. Elmer
JAMES L. ELMER
Director
Correspondence and Directives

Attachments
10 pages

WHEN PRESCRIBED ACTION HAS BEEN TAKEN, THIS TRANSMITTAL SHOULD BE FILED WITH THE BASIC DOCUMENT

SD FORM 106-2
81 MAR

REFERENCES

(a) DoD Directive 7750.5, "Management and Control of Information Requirements," August 7, 1986.

(b) Federal Information Resources Management Regulation, Part 201-45, June 28, 1985 (Title 41, Code of Federal Regulations, Chapter 201)

(c) DoD 7750.5-L, "Listing of Approved Recurring Information Requirements," Semi-annual listing

(d) DoD Instruction 1100.13, "Surveys of Department of Defense Personnel," November 9, 1978

(e) Public Law 96-511, "Paperwork Reduction Act of 1980," December 11, 1980

(f) Title 5, Code of Federal Regulations, Section 1320

(g) FY 1986 Defense Authorization Act, Section 804, "Surveys of Military Families," November 8, 1985

(h) Anti-Trust Civil Process Act

(i) Public Law 96-252, "Federal Trade Commission Improvements Act of 1980"

* (j) Executive Order 12036, Section 4-206, January 24, 1978 (hereby revoked) *

(k) Executive Order 12333, December 4, 1981

(l) Office of Management and Budget Circular A-102, "Uniform Administrative Requirements for Grants-in-Aid to State and Local Governments"

(m) Office of Management and Budget Circular A-110, "Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations"

(n) General Accounting Office OIM-79-3, "GAO General Accounting Office Thesaurus," 1st Edition, November 1978 (GPO Stock No. 020-000-0173-9)

(o) Office of Management and Budget Memorandum to Agency Clearance Officers, "Federal Information Locator System (FILS)," August 27, 1985

(p) DoD 5400.11-R "Department of Defense Privacy Program," August 1983

(q) DoD 5000.21-L, "Listing of Approved Department of Defense (DD) Forms," Semi-annual listing

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REFERENCES (Cont'd)

(r) DoD 5000.12-M "DoD Manual for Standard Data Elements," Annual listing

(s) Office of Management and Budget Memorandum, "Cooperation with Federal Education Data Acquisition Council (FEDAC)," April 2, 1982

(t) DoD Directive 5200.26, "Defense Investigative Program," June 12, 1979

(u) DoD Directive 5200.27, "Acquisition of Information Concerning Persons and Organizations not Affiliated with the Department of Defense," January 7, 1980

(v) DoD Directive 7920.1, "Life Cycle Management of Automated Information Systems (AIS)," October 17, 1978

(w) General Services Administration Information Resources Management Handbook, "Reports Management," July 1985, National Stock Number 7610-01-195-9767

(x) DoD Instruction 7041.3, "Economic Analysis and Program Evaluation for Resource Management," October 18, 1972

in connection with public hearings or meetings;

(9) Facts or opinions obtained or solicited through nonstandardized follow-up questions designed to clarify responses to approved collections of information;

(10) Like items so designated by OMB;

(11) Collections of information from Federal employees within the scope of their employment, unless the results are to be used for general statistical purposes;

(12) Members of the Armed Forces serving on active duty, members of their families, and retired members of the Armed Forces when being surveyed within the context of Section 804 of the FY 1986 Defense Authorization Act;

(13) Information collections from fewer than 10 persons;

(14) Collections of information involving compulsory process pursuant to the Anti-trust Civil Process Act (reference (h)), or Section 13 of the Federal Trade Commission Improvements Act of 1980 (reference (i));

* (15) Collection of information during the conduct of intelligence activities as defined in Sections 3.4e and 3.4f of Executive Order 12333 issued 4 December 1981 (reference (k)), or successor orders; or during the conduct of cryptologic activities that are communications security activities; *

(16) Public information collections needed during the conduct of a federal criminal investigation or prosecution, during the disposition of a particular criminal matter, during the conduct of a civil action to which the United States or any official or agency thereof is a party, or during the conduct of an administrative action or investigation involving an agency against specific individuals or entities; or

* (17) Collections of information sponsored by a federal agency, that are also sponsored by a unit of State or local government, if the agency shows that such State or local requirement would be imposed even in the absence of a federal requirement. *

5. ICB

a. Overview

The ICB is an annual allowance for each Federal agency of the total number of burden hours it may 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, and submit information to the Federal government.

Federal agencies prepare ICB requests annually in response to specific direction contained in an OMB Bulletin.

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These requests contain estimated burden hours for the information collection activities which the agencies want to conduct. Justifications are provided for new collections of information. OMB authorizes a final allowance, which is the maximum number of burden hours that the agency may impose on the public for continuing and new burden items in the next fiscal year.

b. ICB Process

(1) OMB issues an ICB Guidance Bulletin in the third quarter of the current fiscal year. This starts the ICB process for the next fiscal year.

(2) The ICB is an agency's estimate of the total burden of time required by the public to comply with requests for information by that agency. The sum of all agencies' ICBs is the ICB for the Federal government.

(3) After evaluating an agency's proposed ICB, including hearings, OMB will issue a "passback." The passback identifies an upper limit of burden hours to be expended by the entire agency during the fiscal year and recommends areas for burden reduction.

(4) The agency may "appeal" the OMB passback by providing further justification of the agency's position.

(5) OMB transmits a final "allowance" including any changes subsequent to this appeal. The allowance is the maximum number of burden hours that the agency may impose upon the public during that fiscal year.

c. ICB Management

The Office of the Assistant Secretary of Defense, (Comptroller) (OASD(C)), Information Resources Management Systems (IRMS), manages the formulation of the ICB. The steps are generally as follows:

(1) Upon receipt of the annual ICB Bulletin from OMB, the OASD(C), IRMS Directorate provides guidance to the Military Departments, Defense agencies, and OSD Components. The guidance provides a timetable for submission and further instructions to assist them in preparing the required exhibits describing existing and anticipated information collection activities;

(2) DoD and OSD Components review existing exhibits, update them, and create new exhibits for new activities;

(3) IRMS reviews and aggregates DoD and OSD Component exhibits and prepares the DoD ICB;

(4) The senior agency IRM official submits DoD's ICB request to OMB;

Mark "Yes" if information is collected from a subset of all potential respondents and the results are used to infer the characteristics of the whole from the sample. Also mark "Yes" if the respondents are asked or are required to use similar sampling, or other statistical techniques, in generating or collecting the information requested or required by this collection activity.

Item 27: Regulatory Authority for the Information Collection. If an existing regulation requires the information collection, cite the principal section of the Code of Federal Regulations (CFR) containing the requirement. If a regulation not yet codified into the CFR contains the requirement, cite the final rule and provide the page and/or date it appeared in the Federal Register. If the authority for the information is not contained in an existing regulation, leave this item blank.

Item 28: Signature Block. Self-explanatory.

(5) Prepare Federal Register Notice

The Federal Register notice for an SF 83 package is the means by which the public is notified of pending information collections. The notice is published in the Federal Register and the public has 30 days from the date of publication to comment on the pending information collection. It is typed double spaced, with one inch margins. Seven notices (original and 6 copies) are to be forwarded to the DoD Clearance Officer for review along with the SF 83 package. A sample Federal Register notice is shown in Figure C-5. The following items shall be part of the Federal Register notice and contain the same information as Figure C-5:

* (a) Item 1. REASON FOR THIS NOTICE: * Identifies that it is a public information collection. *

* (b) Item 2. OMB DESK OFFICER: Gives the * public the name and address of the OMB person who will receive * their written comments and recommendations. *

* (c) Item 3. DOD CLEARANCE OFFICER: Gives * the public the name, address, and telephone number of the person * to contact to obtain a complete copy of the information * collection proposal. *

The below listed items are provided by the information collection activity. Leave a one inch left and right margin. Double space as indicated in the sample shown in Figure C-5. Submit the original and six copies of the Federal Register notice with the SF 83s. Reproduced copies are acceptable. The information to be submitted is as follows:

* 1. Title, Applicable Forms and OMB Control Number: * Information collection title, form numbers and OMB * Control Number, if applicable. *

* 2. Type of Request: New, Revision, Extension, * Reinstatement, and Existing Collection in Use * Without an OMB Control Number. See SF 83, Part * III, paragraph 15, page 2 for definition of these * terms. *

* 3. Annual Burden Hours: See SF 83, Part III, * paragraph 19, page 2. *

* 4. Annual Responses: See SF 83, Part III, * paragraph 17, Item 3, page 2. *

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Figure C-5

Sample Federal Register Notice for
"Request for OMB Review" (SF 83)

DEPARTMENT OF DEFENSE

REASON FOR THIS 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, APPLICABLE FORM AND APPLICABLE OMB CONTROL NUMBER:

Portfolio Business Profile; DD Form XXXX; No OMB Control Number.

TYPE OF REQUEST: New.

ANNUAL BURDEN HOURS: 10,000.

ANNUAL RESPONSES: 5,000.

NEEDS AND USES: The Booker T. Foundation, under a Department of Defense Contract, has developed the DoD portfolio system; an outreach program which seeks out, on a voluntary basis, those disadvantaged business firms who desire to participate in DoD's acquisition program. The Portfolio Business Profile form is used by Booker T. Washington Foundation Account Executives to obtain significant data from such firms through personal interview appropriate officials. It lists their capabilities and capacities in terms of equipment, numbers and skills of employees, kinds of work done in the past, and general capability to perform.

AFFECTED PUBLIC: Disadvantaged Business Firms.

FREQUENCY: On occasion.

RESPONDENT'S OBLIGATION: Voluntary.

Figure C-5 (Continued)

OMB DESK OFFICER: Mr. Edward Springer

Written comments and recommendations on the proposed information collection should be sent to Mr. Edward Springer at Office of Management and Budget, Desk Officer, Room 3235, New Executive Office Building, Washington, DC 20503.

DOD CLEARANCE OFFICER: Mr. Daniel J. Vitiello

A copy of the information collection proposal may be obtained from Mr. Vitiello, WHS/DIOR, 1215 Jefferson Davis Highway, Suite 1204, Arlington, Virginia 22202-4302, telephone 202/746-0933.

PATRICIA H. MEANS
OSD Federal Register Liaison Officer
Department of Defense

* 5. Needs and Uses: Describe needs, uses, and affected public in 50 words or less. See SF 83, Part III, paragraph 13, page 2. *

* 6. Affected Public: Affected public, individual, state, local governments, farms, businesses, Federal agencies or employees, non-profit institutions. See SF 83, Part I, paragraph 6, page 1. *

* 7. Frequency: Frequency of recordkeeping or reporting such as on occasion, weekly, monthly, quarterly, semi-annual, annual, biennially, and other. See SF 83, Part III, paragraph 23, page 2. *

* 8. Respondent's Obligation: Respondents' obligation to comply such as voluntary, mandatory or required to obtain or retain a benefit. See SF 83, Part III, paragraph 24, page 2. *

c. Clear Through Component IMCO

Submit the SF 83 package (Original and 3 Copies) through the IMCO who shall check it for completeness, ensure that the hours are in the ICB, and that a Privacy Act Statement is incorporated in the information collection instrument, if applicable. Additionally, the IMCO shall ensure that DoD forms management and data standardization programs have been embodied into the request, as appropriate.

d. Submission to WHS/DIOR

(1) Reports Management Criteria

The DoD Clearance Officer reviews all DoD requests for OMB approval before they are submitted to OMB. They are checked for completeness of the SF 83 package, practical utility of the information collected, duplicative information, and clear 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 by an informal means, then the package is returned with a written explanation. The specific items checked are:

(a) Completeness

SF 83 (Original and 3 copies);
Supporting statement (4 copies);
Forms, if applicable;
Instructions and guidelines;

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Survey designs, if applicable;
Sections of applicable laws and regulations;
Federal Register notice (Original and 6 copies).

(b) SF 83 Entries.

Item	Checked For
13.	First line must have minimum of two keywords from the "GAO Thesaurus" (reference (n)).
15.	Must be checked.
18.	If filled in, see that it is in supporting statement.
19.	Must equal OMB's most current inventory listing.
	Check ICB
25.	Valid answer
26.	Valid answer

(c) 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.

(d) Other Factors.

Check to see that forms have provisions for displaying the OMB control number and expiration date in the upper right corner. Check survey documents for consistency with the information requirement and request assistance from survey experts on the technical aspects of the survey, if necessary. Check the Federal Register notice for compliance with the written format specifications described in subparagraph C.6.b(5) and for overall compliance with the Privacy Act if a Privacy Act Statement is required.

(2) Federal Information Locator System (FILS)

Each SF 83 package must be screened against the FILS to determine if a duplicate information collection exists. WHS/DIOR enters the search criteria and certifies that the search was performed using the "FILS Checklist (09/83 Version)" shown in