

DoD Internal Information Collections Process and Procedures Training

DoD Internal Information Collections Team
Washington Headquarters Service,
Executive Services Directorate, Directives Division



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Agenda and Contact Information

Agenda

- Efforts and responsibilities of the DoD Internal Information Collections Program
- Introduction to DoD information collections
- The DoD Internal Information Collections' approval process/obtaining a report control symbol (RCS)
- Revisions, extensions, collections prescribed in issuances, emergency approval procedures, and external collections

Contact information

- DoD Internal Information Collections organization inbox:
 - Whs.mc-alex.esd.mbx.dd-dod-internal-information-collections@mail.mil

Efforts and Responsibilities of the DoD Internal Information Collections Program

- Review all DoD issuances for Congressional, public and DoD internal information collections to ensure that the appropriate procedures are followed
- Process requests to approve DoD internal information collections and assign report control symbols (RCS) to DoD internal information collections
- Develop, populate, and maintain a searchable database that houses information and documents relevant to DoD internal information collections

Introduction to DoD Information Collections

What is an information collection?

- The “collection of information”
- For a specific purpose
- Has a specific format or input and/or output “instrument”
- Is stored and owned by the requester
- Solicits information from respondents
- Has associated frequency

Types of DoD information collections



- Congressional information collections: Information collections submitted by DoD to Congress. Follow procedures in DoD Instruction 5545.02 and coordinate with the Office of the Assistant Secretary of Defense for Legislative Affairs. Information collections that are required by Congress but not submitted back to Congress are processed as DoD internal information collections.



- DoD public information collections: Information is collected by DoD from the public. Follow procedures for public information collections in DoD Manual 8910.01, Volume 2. Visit the DoD Public Information Collections Website (<http://www.dtic.mil/whs/directives/infomgt/collections/index.htm>) for more information on DoD public information collections.



- DoD Component-internal information collections: Information is collected from within one DoD Component. Follow procedures for Component-internal information collections as required by that Component. Contact the Component Information Management Control Officer (IMCO) for more information.



- DoD internal information collections: Information is collected from more than one DoD Component or from another Federal agency. Follow procedures for internal information collections in DoD Manual 8910.01, Volume 1 and on the DoD Internal Information Collections Website, (http://www.dtic.mil/whs/directives/corres/intinfocollections/iic_home.html).

Types of Information Collections

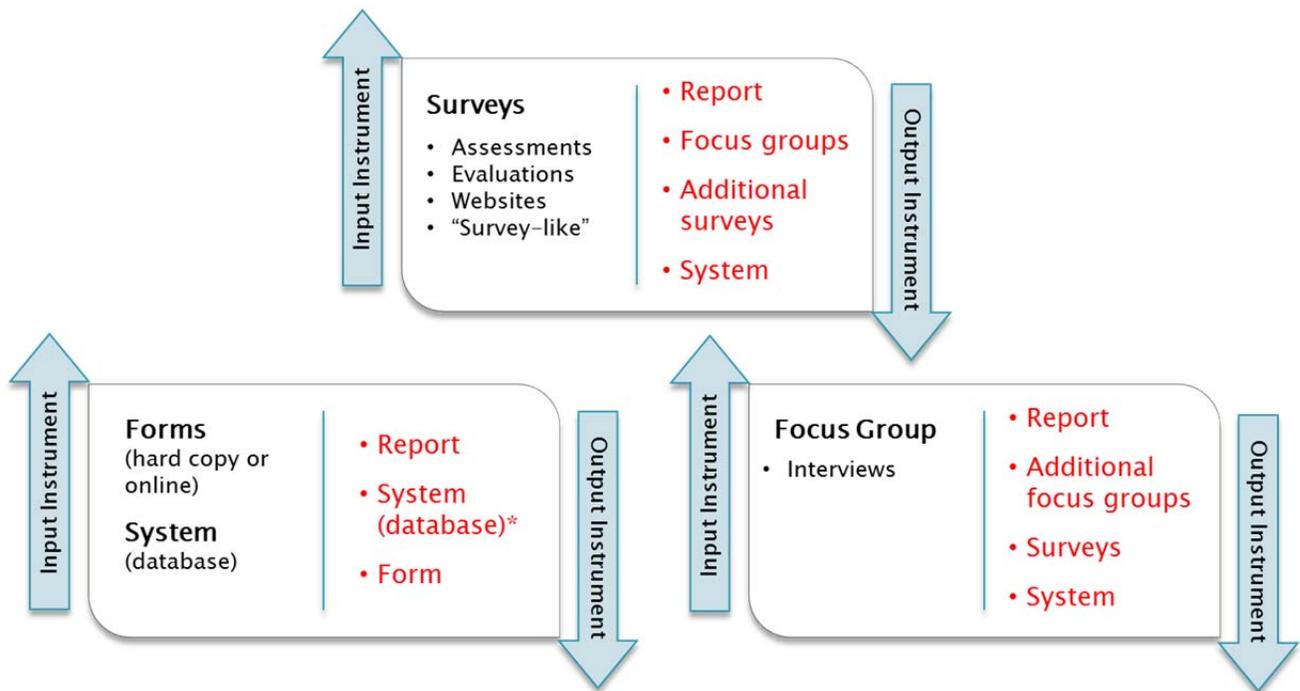
| Type | Congressional Information Collections | DoD Public Information Collections | Component Internal Information Collections | DoD Internal Information Collections |
|----------------------|---|---|---|---|
| Description | DoD submits information directly to Congress | DoD collects information from the public | A DoD Component collects information from within that DoD Component | DoD collects information across or from more than one DoD Component |
| Process Owner | Office of the Assistant Secretary of Defense for Legislative Affairs | Office of Management and Budget through Washington Headquarters Services, Directives Division | That DoD Component's Information Collections Management Program | Washington Headquarters Services, Directives Division |
| Authority Documents | DoD Instruction 5545.02 | DoD Manual 8910.01, Volume 2 | Respective Component's Guidance Documents | DoD Manual 8910.01, Volume 1 |
| Approval Forms | Not Applicable | Office of Management and Budget Form 83-1 | Varies by Component | DD Form 2936 |
| Websites and Systems | Congressional Hearings and Reporting Requirements Tracking System (CHARRTS) | DoD Public Information Collections Website | Varies by Component | The DoD Internal Information Collections System |

Instrument Types

A single DoD internal information collection can be made up of several instruments:

- Input instruments: for the purposes of gather the information.
- Output instruments: for the purposes of presenting, publishing, and posting the results of the collection.

The DoD Internal Information Collections staff typically sees three combinations of instruments that constitute one “information collection” (i.e., needs one report control symbol):



While multiple instruments can be licensed with one report control symbol, the cost (see page – of this handout) and the mandatory coordination (see page – of this handout) for the entire “information collection” must include all instrument types. For example, an information collection with a survey input instrument that results in a focus group output instrument requires coordination with the Defense Manpower and Data Center (for the survey portion) *and* coordination with the Human Research Protection Program (for the focus group portion).

Systems

Systems can be hosted online or not (i.e., they are “programs” or “a way of processing something”). Systems are fed by many types of collections instruments:

- Forms (online or hard copy)
- Survey results (third-party data entry)
- Databases (direct respondent entry)
- Verbally (direct respondent entry or third-party data entry)
- Combination of the above, etc.

The DoD Internal Information Collections staff always treats systems on a case-by-case basis. Contact us at whs.mc-alex.esd.mbx.dd-dod-internal-information-collections@mail.mil for assistance with systems.

Copies of Collections

You may have a copy of a collection if:

- The requirement to collect the data is previously established / the requirement is already licensed
- There is no change to the input or output instruments’ formats
- No supplemental data is required
- No additional frequency is required (e.g., a change from annual collection to quarterly)

You do not have a copy of a collection if your organization is requiring the Component to collect the data and then requesting to obtain a “copy” of that data.

Contact us at whs.mc-alex.esd.mbx.dd-dod-internal-information-collections@mail.mil with questions on copies.

What Doesn't Need a License?

Potentially acceptable exemptions to the DoD internal information collection licensing process:

- Financial audits
- Substantive intelligence reporting
- Investigation of charges

Exemptions for internal collections do not constitute exemptions from Congressional or public collection requirements (and vice versa). Exemptions for internal collections do not exempt the collection from the data protection laws, regulations, and policies (e.g., privacy, records, information assurance).

Contact us at whs.mc-alex.esd.mbx.dd-dod-internal-information-collections@mail.mil your Component Information Management Control Officer (IMCO) and provide a copy of the instrument and description of the collection for a determination; your Component IMCO will confer with the DoD Internal Information Collections Officer for final call.

Overview of the Report Control Symbol (RCS) Assignment Process

STEP 1:

Contact your Component Information Management Control Officer (IMCO) to ensure against duplication and for process guidance.

STEP 2:

Complete a cost summary at the DoD Cost Guidance Portal and draft the DD Form 2936.

STEP 3:

Obtain mandatory coordination as applicable (e.g., a Component privacy official, the Director of the Defense Manpower Data Center, a Component Records Manager).

STEP 4:

Have the Requesting Component's approving official sign the DD Form 2936 and route the DD Form 2936 to respondents for coordination.

STEP 5:

Submit the DD Form 2936 action package to the Component IMCO for review and further routing to the DoD Internal Information Collections Officer (IICO).

Overview of the Report Control Symbol (RCS) Assignment process with its Prescribing DoD Issuance

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Obtain mandatory coordination as applicable (e.g., a Component privacy official, the Director of the Defense Manpower Data Center, a Component Records Manager).

STEP 4:

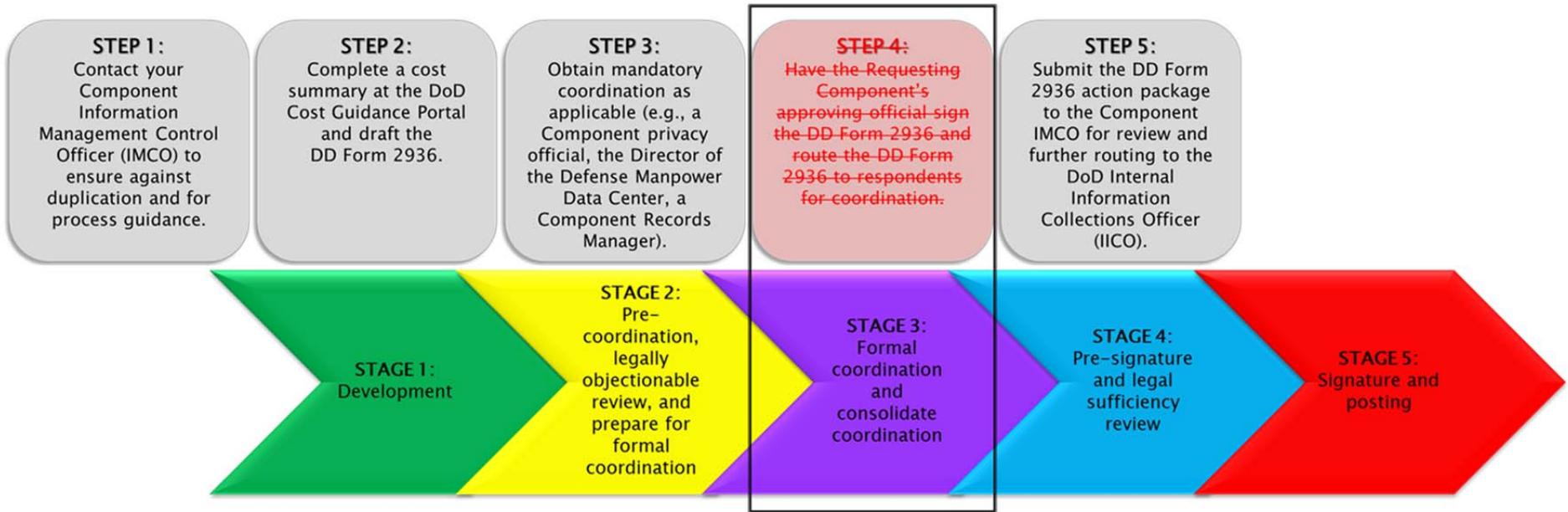
~~Have the Requesting Component's approving official sign the DD Form 2936 and route the DD Form 2936 to respondents for coordination.~~

STEP 5:

Submit the DD Form 2936 action package to the Component IMCO for review and further routing to the DoD Internal Information Collections Officer (IICO).

Overview of the Report Control Symbol (RCS) Assignment Process with its Prescribing DoD Issuance

DoD Internal Information Collections Approval Process



DoD Issuance Publication Process

The DoD Internal Information Collections Approval Process (Obtaining a Report Control Symbol)

Step 1: Contact your Component Information Management Control Officer (IMCO)

| Component Action Officer (AO) | Component Information Management Control Officer (IMCO) | Mandatory Coordinators | Collection Respondents | DoD Internal Information Collections Officer (DoD IICO) |
|-------------------------------|---|------------------------|------------------------|---|
| Contacts IMCO | Ensures against duplication and advises | | | |

- Component IMCO contact information can be found on the DoD Internal Information Collections Website at http://www.dtic.mil/whs/directives/corres/intinfocollections/iic_home.html
- The Component IMCO confirms the collection requires a report control symbol, ensures against duplication and advises on the approval process

Step 2: Complete a cost summary on the DoD Cost Guidance Website and draft the DD Form 2936

| Component Action Officer (AO) | Component Information Management Control Officer (IMCO) | Mandatory Coordinators | Collection Respondents | DoD Internal Information Collections Officer (DoD IICO) |
|--|---|------------------------|------------------------|---|
| Completes cost summary and drafts DD Form 2936 | | | | |

- Complete a cost summary on the CAPE website: <https://www.cape.osd.mil/CostGuidance/> by selecting the "Internal Collections" calculator from the top navigation or under "Cost Guidance Initiatives."
 - You must have common access card to complete the cost summary
 - Select "Information Collections" (do not select "Studies and Reports")
 - Read all instructions for each section carefully when drafting your cost summary
- Costs are calculated for one full fiscal year.

- The requester of the information collection completes cost summary for all costs.
- Cost summaries must be completed before routing the DD Form 2936 package to your SES for signature and before routing to the responding Components for coordination.
- Questions you must be able to answer before completing your cost summary:
 - How many respondents will you have and how long will it take the respondents to respond to the collection request?
5 Components 10 personnel each; 30 minutes per person to respond
 - How often will the information be collected?
Annually and quarterly (four times during fiscal year 2014)
 - What is the average GS level (or equivalent) of your respondents?
Army, Navy, Air Force: O-4 and USD(P&R), USD(AT&L): GS-12
 - What are the recurring and non-recurring / labor and non-labor costs to your organization/Component for owning or sponsoring the collection?
\$1000 one time contract cost; 3 hours of GS-14 time and \$100 in postage each time the survey is administered
- **Example cost summary methodology statement:**

This survey will be administered to Army, Navy, Air Force, the OUSD(P&R), and the OUSD(AT&L) monthly and annually. We will survey 10 individuals in each responding DoD/OSD Component and it will take each individual approximately 30 minutes to complete the survey. The contract costs to the requesting component to develop the survey is a one-time cost of \$1000. Each time the survey is administered, the requesting Component incurs a \$100 cost for postage and 3 hours of GS-14 level labor.

Step 2: Complete a cost summary and draft the DD Form 2936 (continued)

There are three calculating parts of the cost tool:

6. Labor Costs to the Requesting Component : Use to calculate recurring and one-time labor costs to the requesting Component (e.g., compilation, writing, distribution, analysis)

| + Add New Cost - Delete \$860 | | | | | | | |
|--|-----------------|-------|---------------|-----------|------------|-----------|----------------|
| Description | # of Personn... | Grade | Hours or D... | Qualifier | Recurrence | Frequency | Estimated Cost |
| GS-14 hours to compile results each time survey done | 1.00 | GS-14 | 3.00 | Man Hours | Recurring | 5.00 | \$865.60 |

7. Non-Labor Costs to the Requesting Component: Use to calculate recurring and one-time NON-labor costs to the requesting Component (e.g., postage, system maintenance, contracts)

| + Add New Cost - Delete \$1,500 | | | | |
|--|------|------------|-----------|----------------|
| Description | Cost | Recurrence | Frequency | Estimated Cost |
| One-time contract cost to create survey | 1000 | Recurring | 1.00 | \$1,000.0 |
| Postage each time survey is sent out | 100 | Recurring | 5.00 | \$500.0 |

8. Costs to the Responding DoD and OSD Components : * Use to calculate labor (time) costs to the DoD and OSD Components responding to the information collections

| + Add New Cost + Add All OSD and DoD Components - Delete \$8,190 | | | | | | | |
|---|-----------------|-------|---------------|-----------|-----------|----------------|--|
| Responding Component | # of Personn... | Grade | Hours or D... | Qualifier | Frequency | Estimated Cost | |
| Office of the Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L)) | 10.00 | GS-12 | 0.50 | Man Hours | 5.00 | \$1,026.60 | |
| Office of the Under Secretary of Defense for Personnel and Readiness (USD(P&R)) | 10.00 | GS-12 | 0.50 | Man Hours | 5.00 | \$1,026.60 | |
| Department of the Navy | 10.00 | O-4 | 0.50 | Man Hours | 5.00 | \$2,046.20 | |
| Department of the Army | 10.00 | O-4 | 0.50 | Man Hours | 5.00 | \$2,046.20 | |
| Department of the Air Force | 10.00 | O-4 | 0.50 | Man Hours | 5.00 | \$2,046.20 | |

Select the collection frequency in section 3:

3. Select the Frequency of the Information Collection: *

Annually 1 + Monthly Specify Other
 As Required One Time
 Daily Quarterly 4 =

Frequency for one fiscal year is automatically determined throughout the rest of the calculator:

| + Add New Cost - Delete | | | | |
|---------------------------|------|------------|-----------|----------------|
| Description | Cost | Recurrence | Frequency | Estimated Cost |
| Example | 0 | Recurring | 5 | \$0.0 |

SAVE Cancel

Step 2: Complete a cost summary and draft the DD Form 2936 (continued)

The Cost Guidance tool and its frequency modifier (continued):

The calculator cannot determine frequency for “As Required” and “Specify Other” selections

3. Select the Frequency of the Information Collection: *

| | | | |
|---|------------------------------------|--|-------------------------------------|
| <input type="checkbox"/> Annually | <input type="checkbox"/> Monthly | + <input checked="" type="checkbox"/> Specify Other 52 = | |
| <input checked="" type="checkbox"/> As Required 1 | <input type="checkbox"/> One Time | | <input type="text" value="Weekly"/> |
| <input type="checkbox"/> Daily | <input type="checkbox"/> Quarterly | | |

Manually determine these frequencies and enter them throughout the calculator:

| Description | Cost | Recurrence | Frequency | Estimated Cost |
|-------------|------|------------|-----------|----------------|
| Example | 0 | One-time | 53 | \$0 |

SAVE Cancel

The “Recurrence” modifier is available in several places throughout the calculator. The “Recurrence” modifier toggles the frequency modifier on and off.

| Description | # of Personnel | Grade | Hours or Days | Qualifier | Recurrence | Frequency | Estimated Cost |
|-------------|----------------|-------|---------------|-----------|------------|-----------|----------------|
| Example | 1 | GS-14 | 1 | Man Hours | Recurring | 13 | \$7 |

SAVE Cancel

| Description | # of Personnel | Grade | Hours or Days | Qualifier | Recurrence | Frequency | Estimated Cost |
|-------------|----------------|-------|---------------|-----------|------------|-----------|----------------|
| Example | 1 | GS-14 | 1 | Man Hours | One-time | 1 | \$7 |

SAVE Cancel

Step 2: Complete a cost summary and draft the DD Form 2936 (continued)

Drafting the DD Form 2936:

1. CLASSIFICATION OF INFORMATION COLLECTION: As stated.
2. DATE OF REQUEST: Enter the date the DD Form 2936 is drafted.
3. TYPE OF REQUEST: Select “New” or “Reinstatement” (revisions and extensions are covered later in this course).
4. PRESCRIBING DOCUMENTS: As stated. The justification statement (see section 6 below) may serve as the prescribing document.
5. INFORMATION COLLECTION DATA: Sections 5a, 5c, and 5f are populated by the DoD Cost Guidance Website. Complete all other sections of the DD Form 2936 as stated.
6. JUSTIFICATION STATEMENT: A justification statement must include:
 - A detailed description of how the information will be used, by whom and the purpose. Does the information collection involve the use of technological collection techniques?
 - A description of efforts made to reduce the burden and cost on the respondents and a list of risks or penalties associated with not having the information collection request approved.

If the information collection is a survey, attach the package sent to the Defense Manpower and Data Center (DMDC) to include the DMDC “supporting statement” (serves as the justification statement required in section 6 of the DD Form 2936). If the internal information collection is also a collection of information from the public, attach the justification statement submitted with the Office of Management and Budget (OMB) Form 83-I.
7. REQUESTING COMPONENT ORGANIZATION NAME AND DIRECTORATE: Partly populated by the DoD Cost Guidance Website. Add your directorate.
8. ACTION OFFICER CONTACT INFORMATION: Contact information for the action officer completing the DD Form 2936. You may list a Defense contractor with a valid DoD email address.
9. REQUESTING COMPONENT OFFICIAL: Have the DD Form 2936 signed by your Senior Executive Service member (not necessary if coordinating via the DoD issuance process).
10. ESTIMATED COST OF INFORMATION COLLECTION: Populated by the DoD Cost Guidance Website.
11. COORDINATION: Select the applicable mandatory coordination. Signature and date signed are to be completed by the mandatory coordinators.
12. RESPONDENT(S) COORDINATION: This section and the second page of the DD Form 2936 is populated by the DoD Cost Guidance Website.
13. DoD COMPONENT INFORMATION MANAGEMENT CONTROL OFFICER (IMCO): To be completed by the Component Information Management Control Officer.
14. FOR USE BY DoD INTERNAL INFORMATION COLLECTIONS OFFICER ONLY:
As stated.

Step 3: Obtain mandatory coordination and adjudicate as applicable

| Component Action Officer (AO) | Component Information Management Control Officer (IMCO) | Mandatory Coordinators | Collection Respondents | DoD Internal Information Collections Officer (DoD IICO) |
|---|---|---------------------------------|------------------------|---|
| Submits to mandatory coordinators; adjudicates comments | | Review and provide coordination | | |

 **Component Forms Manager:** Information collections involving the use of a form must be coordinated with the requesting Component’s Forms Manager to determine if the form should be controlled in accordance with DoD 7750.07-M. The Component Forms Manager assists the action officer throughout the report control symbol process with the DD Form 67 approval process.

 **Director, Defense Manpower and Data Center (DMDC):** All surveys must be submitted to the Director, DMDC for review. The action officer must create an account through the DMDC Data Request System (DRS) (https://www.dmdc.osd.mil/drs/owa/drs.login.show_login?v_job_id=0). The action officer is contacted directly by DMDC. The action officer drafts a DMDC supporting statement, and submits the collection instrument, the DD Form 2936, and the DMDC supporting statement to DMDC. DMDC conducts a review and assists the action officer directly. DMDC may forward coordination requests to the OSD Privacy Official and the Office of the Human Research Protection Program (HRPP).



 **Component or OSD Privacy Official:** **All information collection requests must be coordinated with the owner's Component Privacy Official (or the OSD Privacy Official) to ensure compliance with privacy policies.**

 **Human Research Protection Program (HRPP) Manager:** Information collections involving focus groups or the gathering of information on human subjects must be coordinated with the HRPP Manager and must comply with HRPP policy.



- **Component Chief Information Officer (CIO):** All requests for collection of information via computer systems or in electronic format must be coordinated with the owner's Component CIO to ensure that the information will be appropriately safeguarded. Coordination Process: The action officer submits the collection instrument and DD Form 2936 to the Component CIO. The Component CIO provides a review of the information collection and assists the action officer directly.

As of September 11, 2012 the DoD CIO's DoD Instruction 8550.01 specifically prohibits the collection of non-public information via internet-based capabilities (IbC) unless directed to do so in statute, regulation, or Executive order.

IbC is defined as: All public information capabilities or applications available across the internet from locations not directly or indirectly controlled by DoD or the Federal government.

DoD Components may use IbC (such as SurveyMonkey) if they enter into a pay-for-service agreement with the company that ensures compliance with all DoD privacy, retention and information assurance policies and regulations.



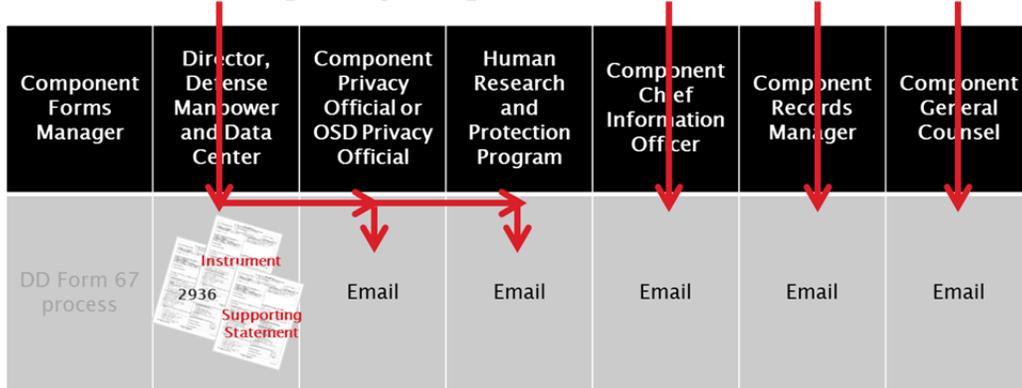
- **Component Records Manager:** **All information collection requests must be coordinated with the owning Component's Records Management Official to ensure that the appropriate records disposition schedule has been identified in accordance with the respective Component's records disposition schedules.** The action officer submits the collection instrument and DD Form 2936 to the Component Records Manager; the Component Records Manager provides a review of the information collection and assists the action officer directly.



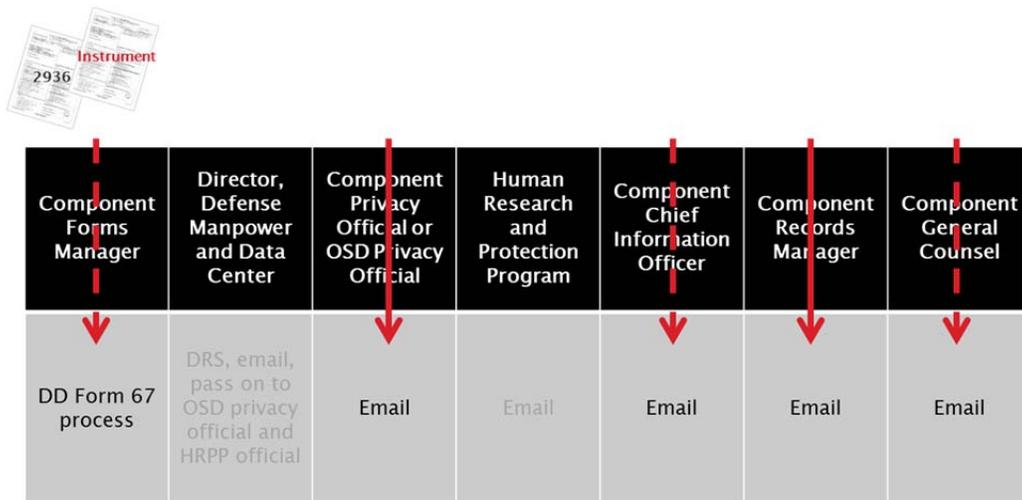
- **Component Office of General Counsel:** DoD Components must consult with their Office of General Counsel if planning to provide gifts or payments to Federal employees for participation in an information collection. The action officer submits the collection instrument and DD Form 2936 to the Component General Counsel; the Component General Counsel provides review of the information collection and assists the action officer directly.

- **Surveys and focus group protocol:** The requesting Component’s action officer submits the DD Form 2936, the collection instrument, and the supporting statement to DMDC. DMDC will forward the package to the OSD Privacy Official and HRPP. The action officer must submit the DD Form 2936 and the collection instrument to the Component CIO, Records Manager, and General Counsel directly.

Requesting Component’s Action Officer:



- **Non-surveys:** The requesting Component’s action officer submits the DD Form 2936 and the collection instrument directly to the Component Privacy Official and the Component Records Manager. The action officer submits the DD Form 2936 and the collection instrument to the Component Forms Manager, the Component CIO, and the Component General Counsel as applicable.



Step 4: Route the DD Form 2936 to the requesting Component’s Senior Executive Service (SES) Member for approval and to respondents for coordination

| Component Action Officer (AO) | Component Information Management Control Officer (IMCO) | Mandatory Coordinators | Collection Respondents | DoD Internal Information Collections Officer (DoD IICO) |
|---|---|------------------------|---|---|
| Submits to their SES and to respondents; adjudicates comments | | | Provides coordination and SES signature | |

Or if coordinated with its prescribing DoD issuance:

| Component Action Officer (AO) | Component Information Management Control Officer (IMCO) | Mandatory Coordinators | Collection Respondents | DoD Internal Information Collections Officer (DoD IICO) |
|--|---|------------------------|--|---|
| Submits to their SES and to respondents; adjudicates comments | | | Provides coordination and SES signature | |

- The action officer submits the DD Form 2936 action to their SES for signature in section 9 (or Component Head if the collection is worth more than \$500,000) and then to respondents for coordination on the cost and spirit of the collection.
- Each responding Component provides coordination and SES signature on the DD Form 2936 and the action officer adjudicates the comments received from respondents.

OR

- If the information collection is routed for approval via the DoD issuance process, the action officer does not obtain requesting Component signature in section 9 or respondents signatures (in section 12) on the DD Form 2936.
- However, cost information must be listed in section 8, “Information Collection Requirements” of the SD Form 106, “DoD Directives Program Coordination Record.

Step 5: Submit the DD Form 2936 approval package to the Component Information Management Control Officer (IMCO)

| Component Action Officer (AO) | Component Information Management Control Officer (IMCO) | Mandatory Coordinators | Collection Respondents | DoD Internal Information Collections Officer (DoD IICO) |
|--------------------------------|---|------------------------|------------------------|---|
| Submits action package to IMCO | Reviews and submits to DoD IICO | | | Reviews, approves and assigns RCS |

- Submit the DD Form 2936 approval package to your IMCO for review, approval, signature, and routing to the DoD Internal Information Collections Officer.
- The DD Form 2936 approval package must include:
 - The DD Form 2936. The DD Form 2936 must be signed at the SES level by the owning Component and each responding Component (unless routed with the prescribing issuance).
 - All cost summaries associated with the information collection and the methodology statement.
 - Copies of coordination with the Component or OSD Privacy Official, the Component Records Management Official, the Component CIO, the Director, DMDC, the HRPP Manager, and the Component Forms Manager as applicable.
 - A copy of or a detailed description of the proposed collection instrument.
 - A copy of the prescribing document.
 - The justification statement.
- The DoD Internal Information Collections Officer assigns a report control symbol (RCS).

DoD Internal Information Collections in DoD Issuances

Example Information Collections Section on the SD Form 106, “DoD Directives Program Coordination Record”

| DoD DIRECTIVES PROGRAM COORDINATION RECORD | | | |
|--|--|--|--|
| <i>Read instructions on the second page before completing this form.</i> | | | |
| 1. DoD ISSUANCE NUMBER <i>(See Instructions)</i> | | 2. SUBJECT <i>(Title of the Issuance)</i> | |
| 3. CLASSIFICATION OF ISSUANCE <input type="checkbox"/> Top Secret <input type="checkbox"/> Confidential <input type="checkbox"/> Secret <input type="checkbox"/> Unclassified | | 4. TYPE OF ISSUANCE <input type="checkbox"/> Directive-type Memorandum <input type="checkbox"/> Administrative Instruction <input type="checkbox"/> DoD Directive <input type="checkbox"/> DoD Instruction <input type="checkbox"/> DoD Manual | |
| 5. TYPE OF ACTION <input type="checkbox"/> New <input type="checkbox"/> Reissuance <input type="checkbox"/> Change <input type="checkbox"/> Cancellation | | 6. DISTRIBUTION <input type="checkbox"/> Unlimited <input type="checkbox"/> Restricted <input type="checkbox"/> Not Releasable | |
| 7. <input type="checkbox"/> INTERNAL COORDINATION COMPLETE | | 8. INFORMATION COLLECTION REQUIREMENTS <i>(Select as applicable)</i> | |
| 9. COORDINATION SUSPENSE DATE. The DoD Directives Program Portal sets suspenses automatically from the date of posting on the Portal in accordance with DoDI 5025.01. | | <div style="color: red; font-weight: bold;">X Congressional collections</div> | |
| 10. <input type="checkbox"/> FEDERAL REGISTER PUBLICATION REQUIRED | | <div style="color: red; font-weight: bold;">X Public collections</div> | |
| 11. <input type="checkbox"/> FORMS PRESCRIBED | | <div style="color: red; font-weight: bold;">X Internal collections</div> | |
| 12. <input type="checkbox"/> PRIVACY REQUIREMENTS | | <div style="color: red; font-weight: bold;">Cost from section 10c of the DD Form 2936</div> <div style="color: red; font-weight: bold;">Cost from section 10d of the DD Form 2936</div> | |
| 13. PURPOSE AND REMARKS <i>(Continue on second page if necessary.)</i> | | | |
| “This issuance prescribes a DoD internal information collection and its cost to the Department is listed in section 8 of this form. The coordination of this issuance will serve as the coordination of this collection and its cost.” | | | |

Example Information Collections Requirements Paragraph in DoD Issuance

- The quarterly training class survey, DD Form 1234, “This Is a Made Up Form,” referred to in paragraph [enter appropriate paragraph citation(s) where the information collection requirement is described or referred to in the issuance] of this issuance has been assigned report control symbol DD-DA&M(Q)XXXX in accordance with the procedures in DoD Manual 8910.01, Volume 1 (Reference (#)).

Example Information Collections Requirements Bullet in an Action Memorandum

- This issuance prescribes the quarterly training class survey, a DoD internal information collection. The information collection requirement, report control symbol DD-DA&M(Q)XXXX prescribed in this instruction will cost the DoD approximately \$7,690.00 annually in fiscal year 2013, Cost Assessment and Program Evaluation identification number 1-09A157F. [Give a brief justification for the information collection requirement. Identify and cite the external or internal source for the requirement.]

Reinstatements, Revisions, Extensions

- **Reinstatement:** The information collection was approved previously but the report control symbol (RCS) has expired. Submit a new DD Form 2936 approval package.
- **Revision:** A revision is a change to an internal collection that has an active report control symbol.
 - Minor revisions: do not require approval forms, cost summaries, or coordination.
 - Major revisions may require coordination of the DD Form 2936, an updated cost summary, and updated mandatory coordination of the collection instrument.

The steps of the DoD internal information collections approval process must be accomplished based on the requested revision to the collection.

Contact your Component IMCO or contact the DoD Internal Information Collections Officer directly for the steps of the DoD internal information collections approval process required for your requested revision.

- **Extension:** An extension may be requested when there is no change in the cost of the collection and the report control symbol is still active.

Extensions are granted for a maximum of two years. Complete steps 1 and 2 of the approval process.

- The coordination required in sections 11 and 12a-12e of the DD Form 2936 is not required for extension requests. All other sections of the DD Form 2936 must be completed.

Select “Explanation of Request for Extension” in section 6 (Justification Statement) of the DD Form 2936. Explain why an extension to the information collection is necessary instead of composing a new justification statement and include the explanation as part of the DD Form 2936 action package.

Emergency Approval Procedures

- DoD internal information collections may be granted emergency approval and a temporary RCS by the DoD Internal Information Collections Officer without prior completion of the cost summaries and coordination.
- **Insufficient planning or administrative oversight does not warrant emergency approval.**
- Emergency approval requests must meet one of the following criteria:
 - The normal approval process will cause harm to the DoD, another Federal agency, or the public.
 - An unanticipated event has occurred (such as a natural disaster) that requires the urgent processing and approval of a DoD internal information collection.
 - The normal approval process is likely to cause a statutory or court-ordered deadline to be missed.
- An expiration date of no more than 180 days from the approval date will be assigned to a DoD internal information collection approved under emergency procedures. All remaining documentation not required by the DoD Internal Information Collections Officer when emergency approval is granted must be completed and submitted to the DoD Internal Information Collections Officer prior to the expiration date of the temporary report control symbol.
- Requests for emergency approval must be submitted to the DoD Internal Information Collections Officer through the DoD Component's IMCO and the DD Form 2936 must be signed by the OSD or DoD Component Head.

Expiration Dates

- DoD New or reinstatements: 5 years
- One-time collections: 1 year
- Collections with emergency approval: 180 days
- Extensions: no more than 2 years and are only granted once
- Collections approved in conjunction with an Office of Management and Budget (OMB) control number (public collection): 3 years / matches the expiration date of the OMB control number
- Revisions (changes) do not alter the expiration date

Interagency and External Collections

- If another Federal agency or entity external to DoD requests information from the DoD, your OSD or DoD Component may serve as the official DoD sponsor for the collection.
 - Your OSD or DoD Component will complete the DD Form 2936 approval process on behalf of the Federal agency or entity external to DoD.
- If your OSD or DoD Component requests information from another Federal agency: Complete the DD Form 2936 approval process as well as any additional procedures required by the other Federal agency.
- If you are to requesting information from an entity outside the Federal government, see the DoD Public Information Collections Website for the process to obtain an Office of Management and Budget (OMB) control number.

Collections that are Both Public and DoD Internal Information Collections

- Contact your Component IMCO and begin the process to obtain an OMB control number for the public part of the collection as outlined on the DoD Public Information Collections Website.
- Complete the cost estimate and DD Form 2936 from step 2 of the approval process.
 - The cost information prepared for the OMB 83-I Form **DOES NOT** include the cost to the DoD and OSD Components to respond to the internal information collection. You must complete a separate cost estimate at the DoD Cost Guidance Website in accordance with step 2.
- Have the requesting Component's approving official sign section 9 of the DD Form 2936 and coordinate the collection with the responding Components per step 4.
- Section 11 of the DD Form 2936 and step 3 of the approval process are not applicable if routing the collection instrument through the OMB process for approval.
- Complete step 5 of the approval process and submit the DD Form 2936 action package to your Component IMCO. A report control symbol will be activated upon activation of the associated OMB control number.

**See the DoD Public Information Collections Website at
<http://www.dtic.mil/whs/directives/infomgt/collections/index.htm>
for more guidance on DoD public collections and to register for the
DoD public information collections training class.**

Additional Training

- Action Officer Training:
LMS iCompass: <https://whsportal.osd.mil/lms/Pages/default.aspx>
- Directives Issuances Training, Directives Division
whs.mc-alex.esd.mbx.dod-directives-issuance-training@mail.mil
- Paperwork Reduction Act Training (public collections), Information Management Division
whs.mc-alex.esd.mbx.imd-dod-public-collections@mail.mil
- OSD Privacy Training
LMS iCompass: <https://whsportal.osd.mil/lms/Pages/default.aspx>

Specialized training: whs.mc-alex.esd.mbx.osd-js-privacy-office@mail.mil
- OSD Records Management Training
whs.mc-alex.esd.mbx.records-and-declassification@mail.mil

Acronyms and Definitions

AO – action officer

CAPE – Cost Assessment and Program Evaluation

CAPE owns and maintains the DoD Cost Guidance Website. Cost summaries from the DoD Cost Guidance Website are required as part of the DD Form 2936 action package. See page 10 for more information.

CIO – Chief Information Officer

Component CIOs are required to coordinate on DoD internal information collections that are collected via computer systems or in electronic format. See page 16 for more information.

Component-internal information collection

Information is collected internally within one DoD or OSD Component. See page 3 for more information.

Congressional information collection

Information collections submitted by DoD to Congress. See page 3 for more information.

DA&M – Director of Administration and Management

DMDC – Defense Manpower and Data Center

DMDC coordination is required for all surveys. See page 15 for more information.

DoD IIC – DoD internal information collection

Information is collected from more than one DoD Component or from another Federal agency.

DoD IICO – DoD Internal Information Collections Officer

Contact the DoD IICO by sending an email to whs.mc-alex.esd.mbx.dd-dod-internal-information-collections@mail.mil.

DoD public information collection

Information is collected by DoD from the public. See page 3 for more information.

IMCO – Information Management Control Officer

The Component advisor on information collections. Visit the DoD Internal Information Collections Website at

http://www.dtic.mil/whs/directives/corres/intinfocollections/iic_home.html for a list of Component IMCOs.

OMB – Office of Management and Budget

OSD – Office of the Secretary of Defense

OUSD(AT&L) – Office of the Under Secretary of Defense for Acquisition, Technology, and Logistics

OUSD(P&R) – Office of the Under Secretary of Defense for Personnel and Readiness

RCS – report control symbol

Requesting Component

The DoD Component requesting the information.

Responding Component

Those DoD Components responding to the information collection. See page 18 for more information on required coordination with respondents to information collections.

SES – Senior Executive Service

Sponsor

The DoD Component serving as the “owner” or “requester” of an information collection on behalf of a private/public organization, a state or local government, or another Federal agency.

WHS – Washington Headquarters Services