



# Department of Defense MANUAL

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Incorporating Change 2, April 19, 2017

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DCMO

SUBJECT: DoD Information Collections Manual: Procedures for DoD Internal Information Collections

References: See Enclosure 1

## 1. PURPOSE

### a. Manual. This manual:

(1) Is composed of two volumes, each containing its own purpose, and reissues DoD Manual (DoDM) 8910.1-M (Reference (a)). The purpose of the overall manual, in accordance with the authority in DoD Directive (DoDD) 5105.53 (Reference (b)), DoD Instruction (DoDI) 8910.01 (Reference (c)), the Secretary of Defense memorandum (Reference (d)), DoD Directive 5105.82 (Reference (aa)), and the Deputy Secretary of Defense Memorandum (Reference (ab)), is to provide guidance to collect information from the public, other federal agencies, or the OSD and DoD Components.

(2) Provides guidance to Information Management Control Officers (IMCO) on the operation of their OSD and DoD Component information collection management programs; and provides the procedures to approve and license with a report control symbol (RCS) DoD internal information collections and approve DoD public information collections.

### b. Volume. This volume:

(1) Updates the responsibilities and procedures for the approval and licensing of DoD internal information collections including information requested from other federal agencies by DoD (see the Glossary in this volume for the definition of DoD internal information collection).

(2) Establishes the DoD Information Collections Webpage and the DoD Information Collections Repository (<http://www.dtic.mil/whs/directives/collections/index.html>) for the publication of valid DoD internal information collections.

(3) Incorporates and cancels Directive-type Memorandum (DTM) 12-004 (Reference (e)).

2. APPLICABILITY. This volume:

a. Applies to OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities within the DoD (referred to collectively in this volume as the “DoD Components”).

b. Does **not** apply to:

(1) Individual OSD or DoD Component information collections that do not cross into other OSD or DoD Components that are approved within and by the OSD or DoD Component requesting the information collection.

(2) Information collections where DoD is a respondent to Congress. The Assistant Secretary of Defense for Legislative Affairs manages the approval and licensing processes for information collection requirements in which DoD responds to a request by Congress. Policy, procedures, and guidance for information collections requested by Congress can be found in DoDI 5545.02 (Reference (f)).

(3) DoD generated, owned, or DoD sponsored information collections that request information from the public. Procedures for DoD information collections from the public are detailed in DoDM 8910.01, Volume 2 (Reference (g)).

(4) Non-federal information collections as governed by DoDD 5400.07 (Reference (h)) and DoD Manual 5400.07 (Reference (i)).

c. If an information collection can be considered a public and DoD internal information collection requirement, the request must be processed in accordance with the procedures in Reference (g).

3. POLICY. It is DoD policy in accordance with Reference (c) that:

a. Information collections are valid, accurate, cost-effective, essential to the mission of the requesting organization, and not duplicative.

b. Information collections that have not been approved and licensed will not be honored.

c. DoD internal information collections, where information across multiple OSD or DoD Components is collected, must be approved and licensed with an RCS.

d. Information collections that are within the OSD or DoD Component will be approved and licensed with a Component information control symbol.

e. An interagency information collection requirement must be approved and licensed with an information control symbol at the OSD Component level.

f. The data from an approved and licensed information collection will be made visible to, available to, and usable by the DoD.

4. RESPONSIBILITIES. See Enclosure 2.

5. PROCEDURES. See Enclosure 3.

6. RELEASABILITY. **Cleared for public release**. This volume is available on the DoD Issuances Website at <http://www.dtic.mil/whs/directives>.

7. SUMMARY OF CHANGE. The changes to this issuance are administrative and update organizational titles and references for accuracy.

8. EFFECTIVE DATE. This volume is effective June 30, 2014.



Michael L. Rhodes  
Director of Administration

Enclosures

1. References
2. Responsibilities
3. Procedures

Glossary

TABLE OF CONTENTS

ENCLOSURE 1: REFERENCES.....6

ENCLOSURE 2: RESPONSIBILITIES.....7

    DIRECTOR, WASHINGTON HEADQUARTERS SERVICES (WHS).....7

    OSD AND DOD COMPONENT HEADS.....7

ENCLOSURE 3: PROCEDURES.....10

    DoD INTERNAL INFORMATION COLLECTIONS .....10

    OSD AND DoD COMPONENT PROCEDURES FOR INTERAGENCY REQUESTS.....11

    COST ESTIMATE .....12

    JUSTIFICATION .....12

    COLLECTION INSTRUMENT.....12

    DD FORM 2936 .....13

    COORDINATION REQUIREMENTS .....13

        Respondents .....13

        Component Forms Management Official .....14

        Director, Office of People Analytics (OPA).....14

        Human Research Protection Program (HRPP) Officials .....14

        Component Privacy Official .....14

        Records Management Official .....14

        Component Chief Information Officer .....14

    INFORMATION COLLECTIONS PRESCRIBED IN DoD ISSUANCES .....15

        RCS Approval Process for Information Collections Prescribed in DoD Issuances.....15

        Coordination of Information Collections With DoD Issuances.....15

        Information Collection Requirements Paragraph in DoD Issuances .....16

        Updating DoD Issuances Upon Changes to an Information Collection .....16

        Updating DoD Issuances Upon the Expiration of an Information Collection .....16

        Cancellation of Prescribing DoD Issuances .....17

    INFORMATION COLLECTIONS NOT PRESCRIBED IN DoD ISSUANCES .....17

    EMERGENCY APPROVAL .....19

    CHANGES TO DoD INTERNAL INFORMATION COLLECTIONS .....20

        Substantial Changes .....20

        Minor Changes.....20

        Extensions .....20

        Reinstatement of Expired DoD Internal Information Collections .....21

        Cancellation .....21

    EXPIRATION PROCEDURES FOR RCSs.....21

        Expiration .....21

        Review Cycle and Procedures .....22

        DoD Internal Information Collections Inventory .....22

    TIMELINES AND COMPLETION STANDARDS .....22

Timeline for Initial Approval, Reinstatement, or Change of an Information Collection ..22  
Coordination Lifetime.....22  
Cost Summary Lifetime .....22

GLOSSARY .....23

PART I: ABBREVIATIONS AND ACRONYMS .....23  
PART II: DEFINITIONS .....23

FIGURES

1. DoD Internal Information Collections RCS Approval Process for Information  
Collections Prescribed in DoD Issuances .....15  
2. DoD Internal Information Collections RCS Approval Process for Information  
Collections Not Prescribed in DoD Issuances .....17

ENCLOSURE 1

REFERENCES

- (a) DoD Manual 8910.1-M, "DoD Procedures for Management of Information Requirements," June 30, 1998 (hereby cancelled)
- (b) DoD Directive 5105.53, "Director of Administration and Management (DA&M)," February 26, 2008
- (c) DoD Instruction 8910.01, "Information Collection and Reporting," May 19, 2014
- (d) Secretary of Defense Memorandum, "Track Four Efficiency Initiative," March 14, 2011
- (e) Directive-type Memorandum 12-004, "DoD Internal Information Collections," April 24, 2012, as amended (hereby cancelled)
- (f) DoD Instruction 5545.02, "DoD Policy for Congressional Authorization and Appropriations Reporting Requirements," December 19, 2008
- (g) DoD Manual 8910.01, Volume 2, "DoD Information Collections Manual: Procedures for DoD Public Information Collections," June 30, 2014, as amended
- (h) DoD Directive 5400.07, "DoD Freedom of Information Act (FOIA) Program," January 2, 2008
- (i) DoD Manual 5400.07, "DoD Freedom of Information Act (FOIA) Program," January 25, 2017
- (j) DoD Directive 5110.04, "Washington Headquarters Services (WHS)," March 27, 2013
- (k) DoD Instruction 1000.29, "DoD Civil Liberties Program," May 17, 2012, as amended
- (l) DoD Instruction 5400.16, "DoD Privacy Impact Assessment (PIA) Guidance," July 14, 2015
- (m) DoD Instruction 8550.01, "DoD Internet Services and Internet-Based Capabilities," September 11, 2012
- (n) DoD 5400.11-R, "Department of Defense Privacy Program," May 14, 2007
- (o) DoD Instruction 1000.30, "Reduction of Social Security Number (SSN) Use within DoD," August 1, 2012
- (p) DoD Instruction 8500.01, "Cybersecurity," March 14, 2014
- (q) DoD Instruction 8510.01, "Risk Management Framework (RMF) for DoD Information Technology (IT)," March 12, 2014, as amended
- (r) DoD Manual 8400.01-M, "Procedures for Ensuring the Accessibility of Electronic and Information Technology (E&IT) Procured by DoD Organizations," June 3, 2011
- (s) DoD Instruction 1100.13, "DoD Surveys," January 15, 2015
- (t) DoD Instruction 3216.02, "Protection of Human Subjects and Adherence to Ethical Standards in DoD-Supported Research," November 8, 2011
- (u) DoD 7750.07-M, "DoD Forms Management Program Procedures Manual," May 7, 2008, as amended
- (v) Title 44, United States Code
- (w) Executive Order 12333, "United States Intelligence Activities," December 4, 1981 as amended
- (x) Title 5, United States Code
- (y) DoD Instruction 5025.01, "DoD Issuances Program," August 1, 2016
- (z) DoD Directive 8000.01, "Management of the Department of Defense Information Enterprise (DoD IE)," March 17, 2016
- (aa) DoD Directive 5105.82, "Deputy Chief Management Officer (DCMO) of the Department of Defense," October 17, 2008
- (ab) Deputy Secretary of Defense Memorandum, "Reorganization of the Office of the Deputy Chief Management Officer," July 11, 2014

ENCLOSURE 2

RESPONSIBILITIES

1. DIRECTOR, WASHINGTON HEADQUARTERS SERVICES (WHS). In accordance with DoDD 5110.4 (Reference (j)) and under the authority, direction, and control of the Deputy Chief Management Officer through the Director of Administration, Office of the Deputy Chief Management Officer of the Department of Defense, the Director, WHS:

a. Manages, controls, licenses, and tracks all DoD internal information collections.

b. Ensures that the Chief of the Directives Division, Executive Services Directorate, WHS, as the DoD Information Collections Officer (ICO), fulfills the responsibilities in paragraphs 1b(1) through 1b(7) in this section. The DoD ICO must:

(1) Organize, direct, and manage the DoD Information Collections Program.

(2) Oversee the implementation of this volume.

(3) Determine if a DoD information collection is a DoD internal information collection. Information collection requests that are not DoD internal collection requests must be forwarded to the appropriate DoD approving authority.

(4) Approve and license DoD internal information collections with an RCS.

(5) Publish and maintain a list of approved and active DoD internal information collections and notify the OSD or DoD Component requesting the information collection six months prior to the expiration date of an information collection.

(6) Develop and enforce expiration procedures for DoD information collections. See section 12 of Enclosure 3 of this volume for expiration procedures.

(7) Establish and maintain the DoD Information Collections Webpage and the DoD Information Collections Repository.

2. OSD AND DoD COMPONENT HEADS. The OSD and DoD Component heads will:

a. Initiate the development and cancellation of DoD internal information collection requests.

b. When requesting the approval of a DoD internal information collection, follow the procedures in this volume, the guidance in Reference (c), and the guidance published on the DoD Information Collections Webpage (<http://www.dtic.mil/whs/directives/collections/index.html>).

c. Ensure that their respective information collections are reviewed to comply with the data protection and use requirements in DoDIs 1000.29, 5400.16, and 8550.01 (References (k), (l), and (m)), DoD 5400.11-R (Reference (n)), DoDI 1000.30 (Reference (o)), DoDI 8500.01 (Reference (p)), 8510.01 (Reference(q)), DoDM 8400.01-M (Reference (r)), DoDIs 1100.13 and 3216.02 (References (s) and (t)), and DoD 7750.07-M (Reference (u)).

d. Derive cost estimates associated with DoD internal information collections in accordance with References (c) and (d) and in accordance with the OSD Cost Assessment and Program Evaluation (CAPE) methodology by using the CAPE cost guidance website (<https://www.cape.osd.mil/CostGuidance/>) when initiating DoD internal information collections. Retain the source documentation used to estimate the cost in accordance with the OSD or DoD Component's records disposition schedule. See section 3 of Enclosure 3 of this volume for more information on cost estimates.

e. Respond only to those DoD internal information collections that are assigned an approved and active RCS, (see paragraph 1b of Enclosure 3 of this volume for a list of items not considered DoD internal information collections). A list of approved and active internal information collections with the assigned RCS can be found at the DoD Information Collections Webpage (<http://www.dtic.mil/whs/directives/collections/index.html>). Contact the DoD ICO (whs.mc-alex.esd.mbx.dd-dod-directives@mail.mil) to clarify the validity of any DoD internal information collection.

f. Review and coordinate on proposed DoD internal information collections in accordance with the procedures established in Enclosure 3 of this volume.

g. Appoint a Component IMCO and provide a copy of the appointment memorandum to the DoD ICO. Provide the DoD ICO a copy of a new memorandum when a change in appointments occurs. The Component IMCO:

(1) Serves as the Component advisor on information collections.

(2) Reviews, approves, and maintains an inventory of Component internal information collections (see the definition of OSD or DoD Component internal information collection in the Glossary).

(3) Reviews, endorses, submits, and assists Component action officers with the submission of the DoD Form (DD Form) 2936 "Request for Approval of DoD Internal Information Collection," located at the DoD Forms Management Program Website at <http://www.dtic.mil/whs/directives/forms/index.html>, action package to the DoD ICO for approval and the assignment of an RCS for DoD internal information collections. See Enclosure 3 of this volume for more information on the DD Form 2936 approval process.

(a) Ensures all DoD internal information collections receive cost estimates in accordance with paragraph 2.d of Enclosure 2 and section 3 of Enclosure 3 of this volume.



(b) Ensures DoD internal information collection requests are coordinated in accordance with the procedures in Enclosure 3 of this volume.

(c) Assists Component action officers with obtaining coordination and cost estimates throughout the entire process to obtain an RCS.

(4) Annually reviews approved information collections for need, adequacy, design, and cost-effectiveness.

(5) Ensures that documents prescribing the information collection are kept up to date if changes to or cancellations of the information collections prescribed in the documents are approved.

(6) Discontinues information collections that are no longer necessary before their expiration dates.

(7) Reduces the collection of information whenever possible.

(8) Notifies the DoD ICO when unlicensed or expired DoD internal information collections are encountered.

(9) Manages the Component-level information collection program. For each information collection, Component-level information collections records should include:

(a) The Component-assigned information collection control symbol.

(b) The cost of and methodology used to estimate the cost of the information collection as obtained pursuant to Reference (c).

(c) The approval materials required by the Component for assignment of the information control symbol as determined by the Component IMCO and the Component internal information collection program.

ENCLOSURE 3

PROCEDURES

1. DoD INTERNAL INFORMATION COLLECTIONS

a. Types of DoD internal information collections include but are not limited to surveys, focus group protocols, standardized reporting, and answers to questions for general statistical purposes regardless of form or format and may require approval by the DoD ICO and licensing with an RCS. See Glossary for the definition of a DoD internal information collection.

b. Items not considered DoD internal information collections and therefore are not subject to the licensing or approval requirements in this volume include:

(1) Information collected during the conduct of a federal criminal investigation or prosecution, or during the disposition of a particular criminal matter in accordance with section 3518(c)(1) of Title 44, United States Code (U.S.C.) (Reference (v)).

(2) Information collected during the conduct of a civil action to which the United States or any official or agency thereof is a party; or an administrative action or investigation involving an agency against specific individuals or entities in accordance with Reference (v).

(3) Information collected during intelligence activities authorized pursuant to section 3.5.(g) of Executive Order (E.O.) 12333 (Reference (w)) as amended or successor orders, or during the conduct of cryptologic activities that are communications security activities pursuant to Reference (v).

(4) Information collected by operationally deployed units or forces supporting a contingency operation for the purpose of directly assisting front line operations.

(5) Information collected during DoD support of domestic and international emergency operations and incidents.

(6) Information collected by the Office of the Inspector General of the Department of Defense under its authority as stated in sections 6(a)(1) and 7 of Title 5, U.S.C. (Reference (x)).

(7) Reports of audit.

(8) Information collected during internal review, personnel security investigations, investigation of charges, a complaint, a claim, or a violation of law or regulation to include questionable intelligence activities.

(9) Comments, concurrence, coordination, or privacy impact assessments that are a part of the routine coordination or clearance of proposed actions or publications; recommendations or

evaluations as to proposed plans, policies, procedures, organizations, missions, publications, agenda, curriculums, or courses of action.

(10) Cost estimate solicitations, routine budget requests, and independent cost estimates or independent cost assessments, that are part of routine acquisition program management and all data, documents, and exhibits submitted as part of the planning, budgeting and execution process in support of developing budgets.

(11) Financial disclosure statements.

(12) Nominations or recommendations for awards or positions.

(13) Personnel records and requests for personnel records to include employment, medical, and dental records or documents.

(14) Facts or opinions from individuals (including individuals in control groups) under treatment, clinical examination, or in connection with research involving human subjects as defined in Reference (t).

(15) Evaluations, summaries, or assessments concerning a conference, convention, symposium, meeting, seminar, class, working group, or workshop.

(16) Copies of previously established information collections or records or data generated automatically that do not impose cost on responding OSD or DoD Components.

(17) Surveys and focus groups where information is collected from nine or fewer potential respondents in one calendar year.

c. Those items not considered DoD internal information collections listed in paragraph 1b of this enclosure are not exempt from the requirements in References (c), (d), (f), (h), (i), (k) through (u), and DoDI 5025.01 (Reference (y)).

## 2. OSD AND DoD COMPONENT PROCEDURES FOR INTERAGENCY REQUESTS

a. When a OSD or DoD Component receives an information collection request from an entity outside of DoD (e.g., federal agencies, State governments, public organizations, or individuals), the OSD or DoD Component shall follow their own internal Component information collection approval procedures. If the OSD or DoD Component does not have any established approval procedures, the requesting external entity shall be directed to the OSD or DoD Component head for approval of the OSD or DoD Component internal information collection.

b. When a OSD or DoD Component receives a DoD internal information collection request from an entity outside of DoD that involves more than one OSD or DoD Component, that OSD or DoD Component may serve as the official DoD sponsor of the DoD internal information

collection. OSD or DoD Component sponsors of DoD internal information collections shall process DoD internal information collection requests in accordance with the procedures in this volume.

c. When a OSD or DoD Component requests information from a federal agency external to DoD, the information collection must be coordinated with and approved in accordance with the procedures prescribed in this volume and in accordance with any additional procedures prescribed by the responding federal agency.

3. COST ESTIMATE. A cost estimate prepared by the requesting OSD or DoD Component is mandatory for all DoD internal information collections to determine if the expected benefit of the information collected is worth the cost burden of its collection. The estimated cost to compile, analyze, and distribute an internal information collection must:

a. Be generated using the CAPE cost guidance website at <https://www.cape.osd.mil/CostGuidance> in accordance with Reference (d).

b. Be documented on the DD Form 2936. Cost estimates for both the OSD or DoD Component requesting the information collection and each responding OSD or DoD Component must be included on the DD Form 2936.

4. JUSTIFICATION. All DoD internal information collections must have a prescribing document (e.g., DoD issuance, statute or law, a federal agency regulation, Presidential, Secretary of Defense or Deputy Secretary of Defense direction) or a supporting statement that clearly outlines why the information collection is necessary and its benefits to the DoD.

#### 5. COLLECTION INSTRUMENT

a. All instruments, instructions, and associated materials used in DoD internal information collections must prominently display the RCS.

b. All instruments must prominently display a Privacy Act Statement or Privacy Act Advisory when applicable.

c. Final copies, reports, or results of an information collection must be submitted in a searchable format to the DoD ICO ([whs.mc-alex.esd.mbx.dd-dod-directives@mail.mil](mailto:whs.mc-alex.esd.mbx.dd-dod-directives@mail.mil)) within 1 year of the assignment of the RCS unless a waiver is obtained from the DoD ICO. The reinstatement of the information collection, the extension of the information collection, changes to the information collection or changes to its prescribing issuance will not be approved if the final copies, reports, or results are not submitted to the DoD ICO.

6. DD FORM 2936. DD Form 2936 must be used to request approval of and to license DoD internal information collections with an RCS. Instructions for preparing a DD Form 2936 are available on the DoD Information Collections Webpage (<http://www.dtic.mil/whs/directives/collections/index.html>).

a. The DD Form 2936 must be signed by the requesting OSD or DoD Component at the Component head, Principal Deputy, or equivalent level for information collections costing \$500,000 or more, or at the Senior Executive Service (SES) or equivalent level for collections costing less than \$500,000. A signature from the requesting OSD or DoD Component is not required on the DD Form 2936 if the information collection is coordinated and approved with the prescribing DoD issuance in accordance with Reference (y). See section 8 of this enclosure for more information on processing DoD internal information collections requests with DoD issuances.

b. Once the OSD or DoD Component requesting the information collection, required coordinators, and respondents have signed the DD Form 2936 at the OSD or DoD Component level, the IMCO for the OSD or DoD Component requesting the information collection must endorse and forward the completed form and the DD Form 2936 action package to the DoD ICO for approval and licensing at [whs.mc-alex.esd.mbx.dd-dod-internal-information-collections@mail.mil](mailto:whs.mc-alex.esd.mbx.dd-dod-internal-information-collections@mail.mil). See the DoD Internal Information Collections Website (<http://www.dtic.mil/whs/directives/collections/index.html>) for a list of items that must be included as part of the DD Form 2936 action package. The DoD ICO will not accept approval and licensing requests unless they are submitted by an IMCO. Contact the DoD ICO at [whs.mc-alex.esd.mbx.dd-dod-directives@mail.mil](mailto:whs.mc-alex.esd.mbx.dd-dod-directives@mail.mil) for IMCO contact information.

c. Emergency approval requests must be signed by the OSD or DoD Component head requesting the information collection and at the SES or equivalent level for responding OSD or DoD Components if required. This signature authority for emergency approval requests cannot be delegated. See section 10 of this enclosure for the procedures to request emergency approval.

## 7. COORDINATION REQUIREMENTS

a. Respondents. The responding OSD or DoD Components must be given an opportunity to coordinate on the cost of DoD internal information collections. Coordination must be at the OSD or DoD Component head, Principal Deputy, or equivalent level for collections costing the responding OSD or DoD Component \$500,000 or more. For those collections costing the less than \$500,000 coordination must be at the SES or equivalent level. OSD or DoD Components must have 15 workdays at a minimum to coordinate. If respondent coordination is required for emergency DoD internal information collection requests, the DoD ICO will determine the required number of workdays for respondent coordination.

(1) For DoD internal information collections not prescribed by statute, law, regulation, E.O., Presidential direction, Secretary of Defense direction, or Deputy Secretary of Defense direction, information cannot be collected from responding OSD or DoD Components that do not

concur with the information collection either on the DD Form 2936 or through the DoD issuance coordination process.

(2) Information collections required by statute, law, federal regulation, E.O., Presidential direction, Secretary of Defense direction, or Deputy Secretary of Defense direction are not optional and may be approved and assigned an RCS by the DoD ICO without concurrence from responding OSD or DoD Components as long as the responding OSD or DoD Components are given the opportunity to coordinate. The OSD or DoD Component requesting the information collection is responsible for providing documentation showing each responding OSD or DoD Component was afforded an opportunity to coordinate on the estimated cost and the DD Form 2936. See paragraphs 8a and 9a of this enclosure for additional procedures on DoD internal information collections prescribed by law and in a DoD issuance.

b. Component Forms Management Official. Information collections involving the use of forms must be coordinated with the forms manager of the OSD or DoD Component requesting the information collection to regulate and design the forms in accordance with Reference (u).

c. Director, Office of People Analytics (OPA). All surveys must be coordinated with the Under Secretary of Defense for Personnel and Readiness through the Director, OPA, in accordance with Reference (s). The Director, OPA, should be contacted early in the development and design of the survey to ensure it meets scientific standards.

d. Human Research Protection Program (HRPP) Officials. Information collections involving the gathering of information on human subjects must be coordinated with the Under Secretary of Defense for Acquisition, Technology, and Logistics and the Under Secretary of Defense for Personnel and Readiness as applicable in accordance with Reference (t).

e. Component Privacy Official. All information collection requests that contain personal information on individuals must be coordinated with the privacy official of the OSD or DoD Component requesting the information collection to ensure compliance with References (k), (l) and (n).

f. Records Management Official. Every information collection request must be coordinated with the records management official of the OSD or DoD Component requesting the information collection as required to ensure that the appropriate records disposition schedule has been identified in accordance with the respective OSD or DoD Component's records disposition schedule.

g. Component Chief Information Officer. Every request for collection of information through a computer system or in electronic format must be coordinated with the chief information officer of the OSD or DoD Component requesting the information collection to ensure that the information will be appropriately safeguarded and:

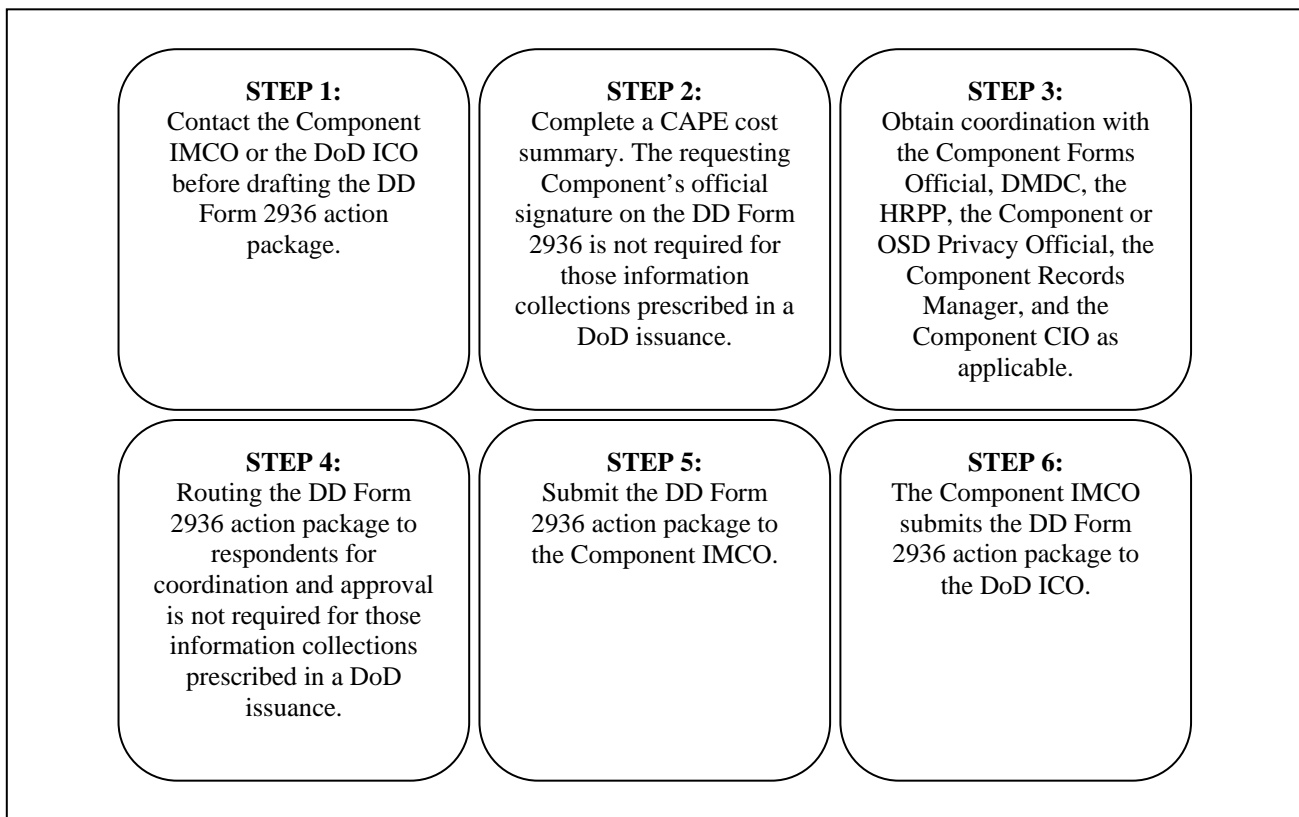
(1) Collected, stored, and otherwise processed in information systems that comply with requirements for information assurance as described in References (l), (m), (p), and (q).

(2) Collected and provided in formats and methods that ensure accessibility in accordance with Reference (r).

8. INFORMATION COLLECTIONS PRESCRIBED IN DoD ISSUANCES

a. RCS Approval Process for Information Collections Prescribed in DoD Issuances. Figure 1 outlines the steps in this volume that are required to obtain an RCS for DoD internal information collections that are prescribed in a DoD issuance.

Figure 1. DoD Internal Information Collections RCS Approval Process for Information Collections Prescribed in DoD Issuances



b. Coordination of Information Collections With DoD Issuances

(1) All information collections prescribed in a DoD issuance (to include those also prescribed by statute, law, federal regulation, E.O., Presidential direction, Secretary of Defense direction, or Deputy Secretary of Defense direction) may be coordinated with the issuance as one action in accordance with Reference (y).

(2) The estimated cost of the DoD internal information collection (the total cost to all responding OSD or DoD Components and the estimated cost incurred by the OSD or DoD Component requesting the information collection) must be provided on the SD Form 106, "DoD

Directives Program Coordination Record” and posted with the DoD issuance to the DoD Directives Portal for coordination in accordance with Reference (y).

(3) The coordination requirements in paragraphs 7b through 7g of this enclosure must be completed as applicable before the prescribing issuance is submitted to the Directives Division for pre-signature review in accordance with Reference (y). The coordination provided with the issuance in accordance with Reference (y) must be used to satisfy the responding OSD or DoD Components’ coordination requirements (see paragraph 7a of this enclosure for more information on coordination with responding Components) and the signature of the requesting OSD or DoD Component’s approving official normally captured on the DD Form 2936 (see paragraph 7a of this enclosure for more information on responding Components).

(4) If a responding OSD or DoD Component has concurred with the issuance without comment relating to the information collection, the signature of that responding OSD or DoD Component’s coordinating official is not required on the final DD Form 2936.

(5) All comments from responding OSD or DoD Components on the Secretary of Defense Form 818, “Comment Matrix for DoD Issuances,” located at the DoD Forms Management Program website at <http://www.dtic.mil/whs/directives/forms/index.html>, concerning the information collection request must be addressed by the requesting OSD or DoD Component before the information collection will be approved by the DoD ICO.

(6) Information collections prescribed in an issuance and required by statute, law, federal regulation, E.O., Presidential direction, Secretary of Defense direction, or Deputy Secretary of Defense direction are not optional and may be approved without the concurrence of all responding OSD or DoD Components as long as the OSD or DoD Components are given the opportunity to coordinate in accordance with Reference (y).

c. Information Collection Requirements Paragraph in DoD Issuances. DoD issuances that reference an information collection requirement must contain an information collection requirements paragraph in accordance with Reference (y). Templates and standards for composing an information collection requirements paragraph can be found on the Directives Division Website (<http://www.dtic.mil/whs/directives/>).

d. Updating DoD Issuances Upon Changes to an Information Collection. DoD issuances and other DoD documents referencing an information collection requirement must be updated as necessary to reflect the change in the information collection in accordance with Reference (y). See section 11 of this enclosure for procedures required to change an information collection.

e. Updating DoD Issuances Upon the Expiration of an Information Collection. If an information collection prescribed by a DoD issuance is not extended or reinstated by its expiration date, the DoD ICO must initiate an administrative change to remove the information collection from the issuance in accordance with Reference (y).

f. Cancellation of Prescribing DoD Issuances. An information collection prescribed by an issuance must be cancelled when that issuance is cancelled in accordance with the procedures in

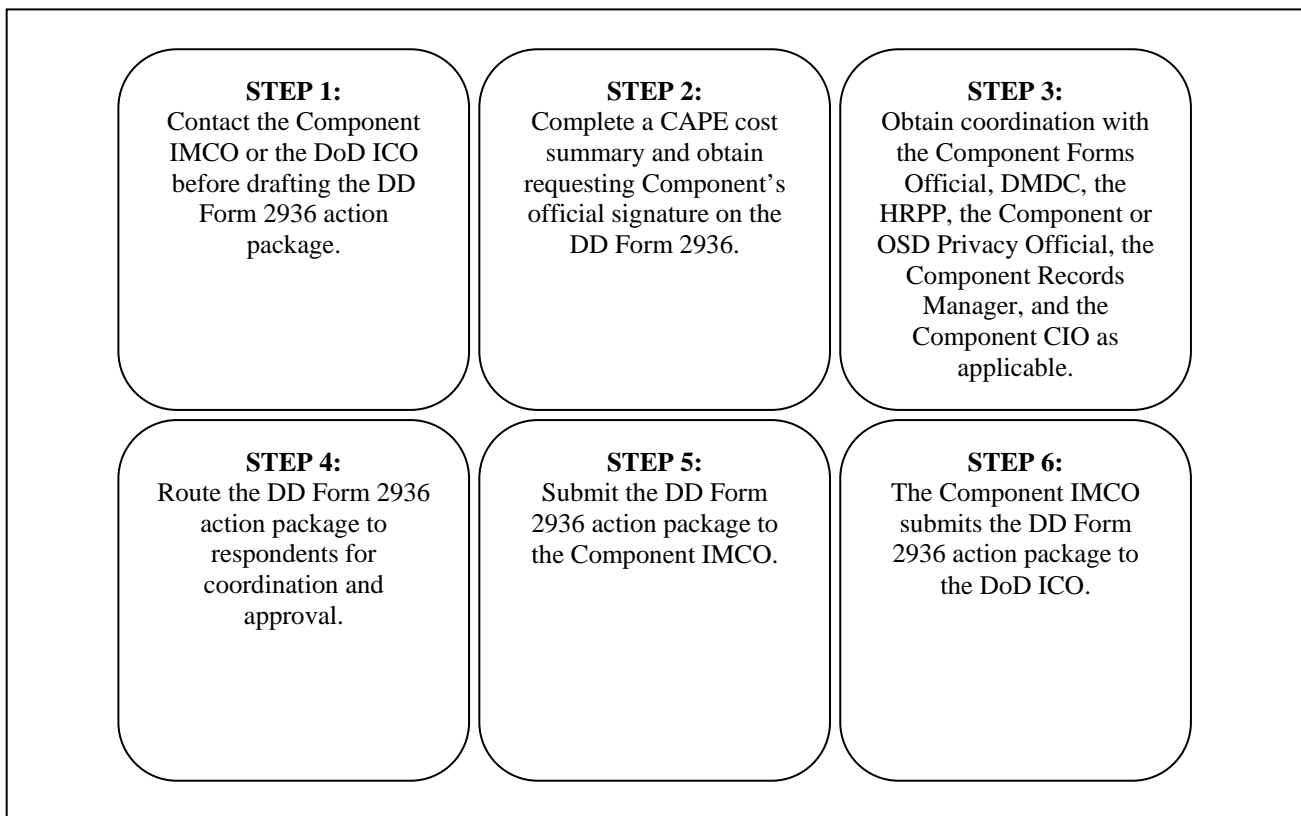


Reference (y). The DoD ICO will update the corresponding list of valid RCSs and notify the IMCO of the OSD or DoD Component requesting the information collection of the cancelled information collection.

9. INFORMATION COLLECTIONS NOT PRESCRIBED IN DoD ISSUANCES

a. Figure 2, “DoD Internal Information Collections RCS Approval Process of Information Collections Not Prescribed in DoD Issuances” outlines the steps in this volume that are required to obtain an RCS for DoD internal information collections that are not prescribed in DoD issuances.

Figure 2. DoD Internal Information Collections RCS Approval Process for Information Collections Not Prescribed in DoD Issuances



b. A signed DD Form 2936 with estimated costs to all responding OSD or DoD Components and estimated cost to the OSD or DoD Component requesting the information collection must be submitted to each responding OSD or DoD Component for coordination. The DD Form 2936 must be signed by the requesting OSD or DoD Component's official before the DD Form 2936 is submitted to responding OSD or DoD Components for coordination. Each responding OSD or DoD Component must sign the DD Form 2936 and return the form to the OSD or DoD Component requesting the information collection.

c. The coordination requirements in paragraphs 7b through 7g of this enclosure must be completed before the DD Form 2936 is submitted to responding OSD or DoD Components for approval.

d. Information collections prescribed by statute, law, federal regulation, E.O., Presidential direction, Secretary of Defense direction, or Deputy Secretary of Defense direction are not optional and may be approved without the concurrence of all responding OSD or DoD Components as long as the responding OSD or DoD Components are given the opportunity to coordinate. The OSD or DoD Component requesting the information collection must provide copies of the coordination with responding OSD or DoD Components who do not concur with the information collection to the Component IMCO and DoD ICO when submitting the DD Form 2936 action package for approval.

e. If a responding OSD or DoD Component selects “do not concur” on the DD Form 2936 for a DoD internal information collection not prescribed by statute, the responding OSD or DoD Component’s concerns must be addressed by the requesting OSD or DoD Component before the DoD internal information collection is approved by the DoD ICO and assigned an RCS. The process to address the do not concur on the DD Form 2936 and the manner in which it is conducted are the responsibility of the OSD or DoD Component requesting the information collection. Addressing the concerns of a responding OSD or DoD Component may consist of:

(1) Informal or formal exchanges by phone, e-mail, or memorandum.

(2) Meetings and working groups that involve the Components’ IMCOs or other OSD or DoD Component senior leadership.

(3) A request to the Director of Administration, ODCMO, to mediate between the OSD or DoD Component heads if exchanges, meetings, and working groups are not successful.

f. If a responding OSD or DoD Component selects “do not concur” on the DD Form 2936 for a DoD internal information collection not prescribed by statute, resolution of the do not concur must be documented. Documentation of the resolution includes written formal withdrawal of the do not concur from the responding OSD or DoD Component (signed at the same level or higher as the original DD Form 2936) or the responding OSD or DoD Component’s signature and selection of concur on an updated DD Form 2936. A copy of the written formal withdrawal of the do not concur must be provided to the Component IMCO and the DoD ICO with the DD Form 2936 action package.

g. If there is no response from a responding OSD or DoD Component after 15 workdays, the requesting OSD or DoD Component must:

(1) Identify those OSD and DoD Components that do not respond.

(2) Provide a copy of all attempts to obtain respondent coordination with the DD Form 2936 action package.

## 10. EMERGENCY APPROVAL

a. Emergency approval requests must be issued only for time-sensitive collections that affect current information collections or that will become an information collection, and only when time constraints prevent the normal approval procedures described in this enclosure. Time-sensitive collections are those that are:

- (1) Directed by E.O.
- (2) Directed by the Secretary or Deputy Secretary of Defense.
- (3) A matter of urgent national security.
- (4) Required by recent (less than 90 days) change in law, statute, or Government-wide regulation.
- (5) Necessary to prevent imminent danger (as defined in the Glossary) to life and health.

b. Insufficient planning or administrative oversight does not warrant emergency approval.

c. Emergency approval must not be used to permanently change or supplement existing information collections.

d. The DoD ICO will determine if an information collection warrants emergency approval.

e. The Component IMCO requesting the information collection must contact the DoD ICO directly to determine if an information collection meets the criteria for emergency approval and for a list of items that will be required for emergency approval. The items required for emergency approval by the DoD ICO must be submitted to the DoD ICO through the Component's IMCO, and the DD Form 2936 must be signed by the OSD or DoD Component head, Principal Deputy, or equivalent.

(1) Information collections may be granted a temporary RCS by the DoD ICO without the coordinated cost summaries and other coordination required by the DD Form 2936. An estimated cost must be provided.

(2) The DoD ICO will determine the required fields of the DD Form 2936 and the required items to be included in the DD Form 2936 action package to be completed by the OSD or DoD Component requesting the information collection on a case-by-case basis. Requests for emergency approval will be granted within 2 working days of receipt of the items requested by the DoD ICO.

f. An expiration date of no more than 180 days from the approval date will be assigned to an information collection approved under emergency procedures.

## 11. CHANGES TO DoD INTERNAL INFORMATION COLLECTIONS

a. Substantial Changes. If an information collection requires substantial changes prior to expiration, a new DD Form 2936 action package (to include all items required by this enclosure) must be submitted by the Component IMCO to the DoD ICO. Substantial changes to an information collection requirement may require modification of the prescribing and supporting documents, including DoD issuances to be made by the OSD or DoD Component requesting the information collection. Substantial changes include but are not limited to:

- (1) Change in frequency of collection.
- (2) Change in number or source of respondents.
- (3) Change to the content of the information collection.

b. Minor Changes

(1) If an information collection requires minor changes prior to expiration, a description of the changes must be e-mailed by the Component IMCO to the DoD ICO at [whs.mc-alex.esd.mbx.dd-dod-directives@mail.mil](mailto:whs.mc-alex.esd.mbx.dd-dod-directives@mail.mil) to determine if a new DD Form 2936 is required. The determination of minor changes to an information collection will be made by the DoD ICO.

(2) Minor changes to an information collection may include a change to the organizational name of the OSD or DoD Component requesting the information collection, the organizational name of a responding OSD or DoD Component, the correction of a misspelled word on the information collection instrument, etc. Minor changes to an information collection requirement may require modification of the prescribing and supporting documents, including DoD issuances to be made by the OSD or DoD Component requesting the information collection.

c. Extensions

(1) An extension to an information collection may be requested for a maximum of 2 years beyond the current expiration date provided there are no substantial changes to the information collection. See paragraph 11a of this enclosure for a list of substantial changes.

(2) When an information collection is prescribed in a DoD issuance and that issuance is certified current in accordance with Reference (y), the information collection will be extended automatically up to 2 years to coincide with the extension of the issuance. If the issuance is not certified current, the information collection cannot be extended.

(3) When an information collection is prescribed in a document other than a DoD issuance, a DD Form 2936 action package must be submitted to request an extension.

(4) Extensions are approved by the DoD ICO and may only be granted once. Extensions cannot exceed the lifetime of the prescribing issuance or 2 years if not prescribed by an issuance.

d. Reinstatement of Expired DoD Internal Information Collections. An expired information collection and associated RCS may be reinstated by submitting a new DD Form 2936 action package according to the procedures in this volume.

e. Cancellation. Information collections must be discontinued whenever they have served the purpose for which they were originally intended, when the cost of production exceeds the value provided, or when continued collection would violate federal law or DoD policy. The IMCO of the OSD or DoD Component requesting the information collection may discontinue a collection by notifying the DoD ICO at mil whs.mc-alex.esd.mbx.dd-dod-directives@mail.mil.

## 12. EXPIRATION PROCEDURES FOR RCSs

### a. Expiration

(1) The expiration date for a DoD internal information collection that has been assigned an RCS must not exceed 5 years from the date it is approved by the DoD ICO or the publication date of the prescribing DoD issuance, whichever is later.

(2) An internal information collection that is also a public information collection will expire 3 years after it is approved by the Office of Management and Budget, unless otherwise specified by the Office of Management and Budget.

(3) An internal information collection prescribed by a DTM will expire when the DTM expires, but cannot exceed 5 years from the publication date of the DTM.

(4) One-time information collections will be valid for up to 1 year and cannot be extended.

(5) Information collections that have received emergency approval will be valid for up to 180 days.

(6) Substantial and minor changes to an internal information collection and the transfer of responsibility for the information collection will not alter the expiration date. The expiration date of an extended internal information collection will not exceed 2 years or the life of the prescribing issuance.

b. Review Cycle and Procedures. Every DoD internal information collection requirement should be reviewed by the OSD or DoD Component requesting the information collection within 6 months of their expiration dates. If a DD Form 2936 action package is not submitted and approved to extend the information collection by the expiration date:

(1) The information collection will expire.

(2) An extension to the internal information collection will not be permitted.

(3) The reinstatement of the collection will be necessary.

c. DoD Internal Information Collections Inventory. A list of valid information collections with associated expiration dates will be published on the DoD Information Collections Webpage (<http://www.dtic.mil/whs/directives/collections/indexmhtml>) by the DoD ICO.

### 13. TIMELINES AND COMPLETION STANDARDS

a. Timeline for Initial Approval, Reinstatement, or Change of an Information Collection. The OSD or DoD Component requesting an internal information collection will be notified with an approval or rejection of the information collection by the DoD ICO within 5 workdays of receipt of the completed DD Form 2936 action package or within 2 workdays of the receipt of the items required by the DoD ICO for emergency approval.

b. Coordination Lifetime. The coordination associated with an information collection will only be valid for up to 1 year from the date obtained.

c. Cost Summary Lifetime. The estimated cost to compile, analyze, and distribute an information collection will be valid for up to 1 year from the date it is obtained.

GLOSSARYPART I. ABBREVIATIONS AND ACRONYMS

CAPE	Cost Assessment and Program Evaluation
DD Form	DoD Form
OPA	Office of People Analytics
DoDD	DoD Directive
DoDI	DoD Instruction
DoDM	DoD Manual
DTM	Directive-type Memorandum
E.O.	Executive Order
HRPP	Human Research Protection Program
ICO	Information Collections Officer
IMCO	Information Management Control Officer
RCS	report control symbol
SES	Senior Executive Service
U.S.C.	United States Code
WHS	Washington Headquarters Services

PART II. DEFINITIONS

Unless otherwise noted, these terms and their definitions are for the purpose of this volume.

Component IMCO. The advisor on information collections and single point of contact for the establishment, revision, and discontinuation of DoD internal information collections.

congressional information collection. The collection of information requested by and submitted to Congress.

DoD internal information collection. Defined in Reference (c).

DoD public information collection. Defined in Reference (g).

form. Defined in Reference (u).

imminent danger. Any condition where there is reasonable certainty that a danger exists that can be expected to cause death or serious physical harm immediately, or before the danger can be eliminated through normal enforcement procedures.

information. Defined in DoDD 8000.01 (Reference (z)).

information system. Defined in section 3502(8) of Reference (v).

instrument. A form, report, survey, system, website, phone script, mailer, interview script, focus group protocol or other tool used to collect information.

intelligence activities. Defined in Reference (w).

OSD or DoD Component internal information collection requirements. The obtaining, causing to be obtained, soliciting, or requiring the disclosure of facts or opinions from an organization that falls under the authority, direction, or control of the OSD or DoD Component requesting the information collection.

survey. Defined in Reference (s).