

**1 JUNE 2000**



**Communications and Information**

**THE INFORMATION COLLECTIONS AND  
REPORTS MANAGEMENT PROGRAM;  
CONTROLLING INTERNAL, PUBLIC, AND  
INTERAGENCY AIR FORCE INFORMATION  
COLLECTIONS**

---

**NOTICE:** This publication is available digitally on the AFDPO WWW site at: <http://afpubs.hq.af.mil>.

---

OPR: HQ AFCA/ITCM (Cheryl M. Kampwerth)

Certified by: HQ USAF/SCXX  
(Lt Col Terry G. Pricer)

Supersedes AFI 37-124, 29 March 1994 and  
AFCAT 37-140, 1 July 1994.

Pages: 28  
Distribution: F

---

This Air Force instruction (AFI) implements Air Force Policy Directive (AFPD) 37-1, *Air Force Information Management* (will convert to AFPD 33-3); Department of Defense (DoD) Directive (DoDD) 8910.1, *Management and Control of Information Requirements*, June 11, 1993; and DoD 8910.1-M, *DoD Procedures for Management of Information Requirements*, June 1998. It establishes procedures and assigns responsibilities for managing and controlling information collections and reporting requirements, and developing the information collection budgets (ICB) according to Public Law 104-13, the *Paperwork Reduction Act of 1995* (referred to as *The Act*). This instruction also gives guidelines and procedures for licensing internal information reports and collections, requesting information from the public, Federal interagency reporting requirements, and reporting projected public information collections to the Congress (ICB) (see Title 5, Code of Federal Regulations [CFR] Part 1320, *Controlling Paperwork Burdens on the Public*, current edition). *The Act* and AFI 33-360, Volume 2, *Forms Management Program*) affect this publication. Send recommended changes or comments to Headquarters Air Force Communications Agency (HQ AFCA/ITPP), 203 W. Losey Street, Room 1020, Scott AFB IL 62225-5222, through appropriate channels, using AF Form 847, **Recommendation for Change of Publication**, with an information copy to HQ AFCA/ITCM, 203 W. Losey Street, Scott AFB IL 62225-5222. See **Attachment 1** for a glossary of references and supporting information and **Attachment 2** for a sample of a supporting statement.

**SUMMARY OF REVISIONS**

This instruction updates procedures of the Information Collections and Reports (ICR) Management Program and deletes the reporting requirement for Report Control Symbol (RCS) SAF-AAI(SA)9223, *Semi-annual RCS Status Report*. This instruction rescinds the use of Optional Form (OF) 101, **Summary Worksheet for Estimating Reporting Costs**, and of Air Force Catalog (AFCAT) 37-140, *Air Force Internal Information Collections (Report Control Symbol [RCS] Reports)*.

**Chapter 1—PURPOSE, SCOPE, AND RESPONSIBILITIES 4**

- 1.1. Purpose ..... 4
- 1.2. Scope ..... 4
- 1.3. Functional Responsibilities ..... 5
- 1.4. Noncompliance Provision ..... 6

**Chapter 2—INTERNAL REPORTING REQUIREMENTS (REPORT CONTROL SYMBOL REPORTS) 7**

- 2.1. Report Control Symbol Reports Procedures ..... 7
- 2.2. Reports or Information Collections That Require a Control Symbol ..... 7
- 2.3. Information Collections and Reports Managers’ Procedures for New and Revised Report Control Symbol Reports ..... 7
- 2.4. Application Procedures for New, Revised, or Revalidated Report Control Symbols ..... 8
- 2.5. Functional Approval Authority ..... 8
- 2.6. Emergency Status Code ..... 9
- 2.7. MINIMIZE ..... 9
- 2.8. Licensing Reporting Requirements in Automated Systems ..... 9
- 2.9. Discontinuing and Superseding a Report Control Symbol Reporting Requirement . 10
- 2.10. Triennial Revalidation ..... 10
- 2.11. Exemptions from Report Control Symbol Licensing Procedures ..... 10
- 2.12. Exemption Statement ..... 11
- 2.13. Assigning Report Control Symbols ..... 11

Figure 2.1. Assigning an RCS Symbol ..... 11

**Chapter 3—PUBLIC INFORMATION COLLECTIONS 13**

- 3.1. How *The Act* Bears on Collecting Information from the Public ..... 13
- 3.2. The Scope of *The Act* ..... 13
- 3.3. Agencies Exempt From Licensing Public Information Collections ..... 13
- 3.4. The Annual Information Collection Budget--RCS: DD-C3I(A)1680, *ICB Annual Plan* ..... 13
- 3.5. New and Revised Public Information Collections ..... 13
- 3.6. Expired Public Information Collections ..... 13
- 3.7. Office of Management and Budget Approval Application Procedures ..... 13
- 3.8. Agency Disclosure Notice ..... 14

<b>AFI33-324 1 JUNE 2000</b>	<b>3</b>
3.9. Processing Time .....	15
3.10. Emergency Processing .....	15
3.11. Request for Extension .....	16
3.12. Out-of-Cycle Requests .....	16
3.13. Acquisition-/Procurement-Related Public Information Collections .....	16
3.14. Canceling an Office of Management and Budget-Approved Information Collection	16
3.15. Generic Clearance Streamline Process .....	17
3.16. Exemptions to Office of Management and Budget Licensing Procedures .....	17
<b>Chapter 4—INTERAGENCY REPORTING REQUIREMENTS</b>	<b>19</b>
4.1. The Purpose of Controlling Interagency Reporting Requirements .....	19
4.2. The Scope of Interagency Reporting Requirements .....	19
4.3. Information Collections and Reports Managers' Procedures for New and Revised Interagency Reports .....	19
4.4. Interagency Reports Application Procedures .....	19
4.5. Noncompliance Provision .....	20
4.6. Discontinuing an Interagency Report .....	20
4.7. Organizations Exempt From Licensing Interagency Reports .....	20
4.8. Reporting Requirements Exempt From Interagency Licensing Procedures .....	20
4.9. Form Prescribed .....	20
<b>Attachment 1—GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION</b>	<b>21</b>
<b>Attachment 2—SAMPLE SUPPORTING STATEMENT FORMAT</b>	<b>26</b>

## Chapter 1

### PURPOSE, SCOPE, AND RESPONSIBILITIES

#### 1.1. Purpose . The ICR Program:

- 1.1.1. Reduces costly, ineffective, and redundant information collections and reporting requirements.
- 1.1.2. Establishes procedures for information collecting and reporting of internal, public, and inter-agency requirements.
- 1.1.3. Implements portions of Chapter 35 of Public Law 96-511, *The Paperwork Reduction Act of 1980* to:
  - 1.1.3.1. Minimize the Federal paperwork burden on the public, small businesses, and state and local governments.
  - 1.1.3.2. Minimize the Federal Government's costs for collecting, maintaining, using, and disseminating information.
  - 1.1.3.3. Maximize the usefulness of information collected, maintained, and disseminated by the Federal Government.
  - 1.1.3.4. Coordinate, integrate, and where practical, create uniform Federal information policies and practices.
  - 1.1.3.5. Make sufficient information available to all commanders and management personnel to achieve mission effectiveness.

#### 1.2. Scope . This instruction covers procedures that apply to existing, revised, and new ICRs, whether they are recurring or a one-time report. Refer to it for guidelines on all types of data and information collecting and reporting.

- 1.2.1. Managers must control and minimize the burden associated with the collection and reporting of information. Apply the guidelines in this instruction when:
  - 1.2.1.1. Establishing and maintaining policies, plans, and objectives.
  - 1.2.1.2. Reviewing program proposals.
  - 1.2.1.3. Allocating resources.
  - 1.2.1.4. Reviewing actual performance against program goals.
  - 1.2.1.5. Satisfying statutory, congressional, and other imposed interagency information requirements.
  - 1.2.1.6. Collecting information from the public (public reporting).
  - 1.2.1.7. Collecting information from within the DoD.
  - 1.2.1.8. Collecting information from other Federal agencies.
- 1.2.2. Records Management: Maintain and dispose of all records created as a result of processes prescribed in accordance with Air Force Manual (AFMAN) 37-139, *Records Disposition Schedule* (will convert to AFMAN 33-322 Vol. 4).

**1.3. Functional Responsibilities** . Headquarters United States Air Force (HQ USAF), major commands (MAJCOM), field operating agencies (FOA), direct reporting units (DRU), and all activities generating an information requirement have responsibilities in the ICR Program.

1.3.1. The Directorate of Chief Information Officer (CIO) Support, Corporate Information (HQ AFCA/ITC) oversees the ICR Program through the Air Force Information Management Control Officer (IMCO). The IMCO:

1.3.1.1. Manages the Air Force ICR Program.

1.3.1.2. Serves as technical advisor to the Air Force.

1.3.1.3. Acts as liaison between the Air Force and all other DoD and Federal agencies.

1.3.1.4. Reviews all requests for internal, public, and interagency information collections.

1.3.1.5. Submits the following to DoD:

1.3.1.5.1. Requests for approval of public and interagency collections.

1.3.1.5.2. Public collection *Federal Register* Notices (FRN).

1.3.1.5.3. Information Collection Budget (ICB).

1.3.1.6. Assigns RCS licenses to HQ USAF-internal reports.

1.3.1.7. Maintains inventory of Air Force RCS reports on the World Wide Web.

1.3.1.8. Reviews and coordinates on all departmental publications and forms.

1.3.1.9. Monitors the triennial revalidation of all HQ USAF-licensed reporting requirements.

1.3.2. Commanders at all levels will implement this instruction. Each HQ USAF and Secretary of the Air Force (SAF) functional organization, MAJCOM, DRU, and FOA appoints an ICR manager and sends HQ AFCA/ITC the name, functional address symbol, e-mail address, and telephone number whenever a new ICR manager is assigned.

1.3.3. The MAJCOM, DRU, and FOA ICR managers:

1.3.3.1. Assign command and agency-level RCS numbers to justified and validated reporting requirements.

1.3.3.2. Maintain an inventory of command and agency-level RCS reports.

1.3.4. All ICR managers:

1.3.4.1. Give personnel guidelines and training.

1.3.4.2. Conduct periodic program reviews.

1.3.4.3. Review and coordinate on all of their agency publications and forms (new or revised) for compliance with this instruction.

1.3.4.4. Review all requests for internal, public, and interagency collections.

1.3.4.5. Forward public and interagency collections to HQ AFCA/ITC.

1.3.4.6. Act as technical advisors and liaisons to the Air Force IMCO.

1.3.4.7. Conduct triennial revalidation of all reporting requirements.

1.3.4.8. Submit the annual ICB to HQ AFCA/ITC through their chain-of-command. This reporting requirement is exempt from licensing in accordance with DoD 8910.1-M.

1.3.5. All organizations generating information collections and reporting requirements need to submit requests for information that are:

1.3.5.1. Concise, valid, accurate, and essential to the mission.

1.3.5.2. Licensed in accordance with this program.

1.3.5.3. Standardized in use of data as referenced in AFI 33-110, *Data Administration Program*.

**1.4. Noncompliance Provision** . All Air Force organizations that are tasked to submit information will:

1.4.1. Only respond to exempt or licensed information requirements (see paragraphs [2.11.](#), [3.16.](#), and [4.8.](#) for exemptions).

1.4.2. Notify the agency and ICR manager making a request for a reporting requirement without an approved control number that they need either an RCS, Office of Management and Budget (OMB) Control Number, or Interagency Report Control Number (IRCN).

1.4.3. Not collect the required information until the appropriate agency furnishes a control number.  
**NOTE:** If the requesting agency does not license the requirement, they must withdraw their request.

## Chapter 2

### INTERNAL REPORTING REQUIREMENTS (REPORT CONTROL SYMBOL REPORTS)

**2.1. Report Control Symbol Reports Procedures .** This chapter covers procedures for monitoring and controlling internal reporting requirements that Air Force organizations initiate and impose on other Air Force organizations or DoD components or that other DoD components initiate and impose on the Air Force.

**2.2. Reports or Information Collections That Require a Control Symbol .** Status, summary, or statistical information that is compiled and transmitted from one organizational component to another for management purposes requires licensing with an RCS. According to DoDD 8910.1, "Information requirements that have not been properly approved and symbolized (assigned an information requirements control symbol) shall not be honored."

2.2.1. Sometimes it is necessary for an office of primary responsibility (OPR) for a reporting requirement to query a reporting activity about information contained in an established RCS report. These requests do not constitute a new reporting requirement.

2.2.2. An RCS assigned to a reporting requirement does not apply to the submission of additional information not contained in the original report and required by intermediate headquarters. The intermediate headquarters is required to license the requirement for additional information by issuing an organizational RCS number.

2.2.3. Whether information is submitted via a paper report, electronically, or directed insertion of data into an electronically accessible database, an RCS is required.

**2.3. Information Collections and Reports Managers' Procedures for New and Revised Report Control Symbol Reports.** For each new or revised information requirement, ICR managers:

2.3.1. Review requests submitted on AF Form 130, **Application for a Report Control Symbol**, to determine if they have been properly justified and meet the requirements in paragraphs 2.3.2. through 2.3.8.

2.3.2. Ensure that requesters have performed a cost analysis in accordance with AF Form 130.

2.3.3. Screen against other licensed information collections for redundancy.

2.3.4. Determine whether the request requires the collection of personal information on individuals. If the request collects personal information on individuals, comply with the procedures in AFI 33-332, *Air Force Privacy Act Program*.

2.3.5. Review reporting requirements generated in new automated systems with the OPR (paragraph 2.8.2.). Comply with the procedures in AFMAN 37-123, *Management of Records* (will convert to AFMAN 33-322 Vol. 2), and AFI 33-112, *Computer Systems Management*.

2.3.6. Review RCS reports to ensure that they are current. **NOTE:** All RCS reports receive 3-year licenses.

2.3.7. Rescind RCS reports at the organizational level if their licenses have expired.

2.3.8. Assign a RCS number at the requester's organizational level to justified and validated reporting requirements.

2.3.9. Maintain appropriate administrative files for each report initiated by their organization. These files will include, as a minimum, AF Form 130; a copy of the prescribing directive, letter, or message; a copy of associated forms; copies of pertinent correspondence; and copies of supplementing directives (if applicable). **NOTE:** If the prescribing directive is readily available through the OPR, local publications library, or electronically, maintenance by the ICR manager is not required.

**2.4. Application Procedures for New, Revised, or Revalidated Report Control Symbols.** The organization that generates the reporting requirement must request a RCS number. Generating organizations submit the information in paragraphs 2.4.1. through 2.4.3 through their component ICR manager when requesting approval for a new or revised RCS report or when revalidating a report every three years.

2.4.1. AF Form 130.

2.4.2. A copy of the title page and pertinent section of the prescribing directive.

2.4.2.1. You may prescribe a RCS report in a policy letter or message for a one-time report or to expedite a recurring reporting requirement prior to implementation in a prescribing directive.

2.4.2.2. You must put recurring reporting requirements into a prescribing directive within 120 days. Prescribing directives and policy letters must include:

2.4.2.2.1. The RCS number and title of the report.

2.4.2.2.2. What data is submitted, who submits it, when it is due, and where it is sent.

2.4.2.2.3. An explanation of reporting procedures during emergency conditions as indicated by the emergency status code (ESC) on the AF Form 130 (see paragraph 2.6.).

2.4.2.2.4. An explanation on whether to continue to report data during MINIMIZE if the report is sent electronically as indicated on the AF Form 130.

2.4.3. A copy of any forms used to collect the requested information. **NOTE:** Forms used to submit data for a RCS report must show the RCS number in the upper right corner (AFI 33-360 Vol. 2).

## **2.5. Functional Approval Authority .**

2.5.1. Determines the information to collect.

2.5.2. Evaluates the collected information based on the burden imposed on the Air Force.

2.5.3. Validates and approves the collection of information and perceived value of the RCS report by signing the AF Form 130.

2.5.4. Determines the records retention requirements at all levels and submits an AF Form 525, **Records Disposition Recommendation**, through records management channels as prescribed in AFI 37-138, *Records Disposition—Procedures and Responsibilities* (will convert to AFMAN 33-322 Vol. 3).

2.5.5. Division Chief or above must sign AF Form 130 for RCS reports at all organizational levels.

2.5.6. Exceptions:

2.5.6.1. Director or above must sign all AF Forms 130 for RCS reports that project associated costs of \$250,000 to \$500,000.



2.5.6.2. Deputy Chief of Staff or equivalent level must sign all AF Forms 130 for RCS reports that are collected on a weekly or daily frequency and/or have associated costs over \$500,000.

**2.6. Emergency Status Code .** OPRs generating an internal information collection assign an ESC to guide the reporting procedures during emergency and crisis conditions that may hinder or sufficiently degrade the ability to collect the data. The status and precedence code assigned to a report should reflect its need during such conditions.

2.6.1. The assignment of the ESC is important because a report with a lesser precedence may affect another with a higher precedence that could directly affect the wartime mission. It is important to examine a report in relation to overall data requirements when assigning an ESC. Many reports affect up-channel-reporting requirements.

2.6.2. Use these codes and their definitions in the directives that prescribe or implement the reporting requirement. Include one of the following statements:

2.6.2.1. This report is designated ESC.

2.6.2.1.1. Status Code "D" indicates: Immediately discontinue reporting data requirements during emergency conditions.

2.6.2.1.2. Status Code "C1" indicates: Continue reporting during emergency conditions, priority precedence. Submit data requirements assigned this category as prescribed or by any means to ensure arrival on the established due dates.

2.6.2.1.3. Status Code "C2" indicates: Continue reporting during emergency conditions, normal precedence. Submit data requirements assigned this category as prescribed or by any means to ensure arrival on the established due dates.

2.6.2.1.4. Status Code "C3" indicates: Continue reporting during emergency conditions, delayed precedence. Submit data requirements as prescribed, but they may be delayed to allow the submission of higher precedence reports. Submit by non-electronic means, if possible.

**2.7. MINIMIZE .** OPRs generating an internal reporting requirement that is sent electronically must consider reporting procedures during MINIMIZE (see definition in [Attachment 1](#)). The prescribing directive for these reports must include one of the following statements: "CONTINUE REPORTING DURING MINIMIZE," or "DISCONTINUE REPORTING DURING MINIMIZE."

**2.8. Licensing Reporting Requirements in Automated Systems .**

2.8.1. An organization developing an automated system must coordinate with the MAJCOM ICR manager to ensure all reporting requirements are properly licensed. Coordinate with the Air Force IMCO if it is an Air Force-wide system. The OPR for the system should consider what would happen to all reports uploaded from one organizational component to another or generated on paper, tape, computer-output microfilm, or as output of an electronic database.

2.8.2. The OPR for a new automated system will comply with reporting requirements in the Electronic Records Proposal, as prescribed in AFMAN 37-123 (will convert to AFMAN 33-322 Vol. 2).

2.8.3. The MAJCOM ICR manager or the Air Force IMCO will work with the OPR to determine what data submissions require a control symbol. Follow procedures in paragraph [2.3](#). to request the

appropriate control symbols. **NOTE:** All output products that collect information for a licensed report must display the appropriate control symbol.

**2.9. Discontinuing and Superseding a Report Control Symbol Reporting Requirement.** Originating organizations that want to discontinue or supersede a RCS reporting requirement must:

2.9.1. Send written notification to the reporting activities if they have superseded or discontinued a RCS report.

2.9.2. Update the publication that prescribes the RCS report by issuing a revision or an interim change to reflect the current status of the reporting requirement. Include this information in the "Summary of Revisions" once the publication is rewritten.

2.9.3. Submit a copy of the written notification and a draft of the revised publication or interim change to the component ICR manager or the Air Force IMCO.

2.9.4. Coordinate with servicing records manager to effect disposition of any accumulated records and coordinate on requirement to change any report specific records disposition published in AFMAN 37-139 (will convert to AFMAN 33-322 Vol. 4).

**2.10. Triennial Revalidation .**

2.10.1. The OPR for the RCS report must revalidate the reporting requirement every 3 years according to the procedures in paragraph 2.4. of this instruction.

2.10.2. The ICR manager/Air Force IMCO identifies any RCS reports that have not been revalidated in 3 years and lists them as expired in the organizational component's list of RCS reports or the *Air Force Internal Information Collections (RCS Reports)* at: <http://www.afca.scott.af.mil/corp-info/icr.htm>

**2.11. Exemptions from Report Control Symbol Licensing Procedures .** DoD and Air Force licensing procedures exempt the types of internal information requirements described in paragraphs 2.11.1. through 2.11.12.

2.11.1. Substantive intelligence or counterintelligence reports, personnel security reports, and other investigative surveys and reports that relate to safeguarding defense information, protecting DoD functions and property, and handling civil disturbances within the United States and its territories and possessions. **EXCEPTION:** ICR managers must license statistical and summary reports for management review that do not bear directly on a specific intelligence matter.

2.11.2. Reporting requirements within a base or headquarters that flow laterally on the same level of command. **EXCEPTION:** ICR managers must assign a RCS number for lateral reporting requirements that make it necessary to collect information at subordinate levels.

2.11.3. Information or documentation such as requisitions, material release orders, or supply status notices processed and transmitted within an operational system. **EXCEPTION:** ICR managers must license summary and evaluation output reports that they transmit to higher headquarters.

2.11.4. Reports of survey and any reports of findings, recommendations, or actions on a specific matter prepared by an official committee, board, survey team, study group, or task force.

- 2.11.5. Routine comments, concurrences, certifications, authorizations, recommendations, and evaluations for a proposed action, plan, policy, procedure, organization, mission, publication, agenda, or course of action.
- 2.11.6. Public information releases.
- 2.11.7. Accounting system source documents and output reports that are justified in accordance with DoD-directed procedures during the accounting system concept and design process.
- 2.11.8. Reports of audits, reports generated from internal reviews, investigations of charges, complaints, claims, or violations of law or regulation. **EXCEPTION:** ICR managers must license the statistical and summary information required in preparing a published audit report. They must also license reports of internal reviews imposed by and transmitted to a higher headquarters.
- 2.11.9. Routine requests for cost estimates for a specific licensed reporting requirement.
- 2.11.10. Operating documents (see [Attachment 1](#), Terms).
- 2.11.11. Budget estimates and President's budget exhibits required by DoD 7000.14-R, Volumes 2A and 2B, *DoD Financial Management Regulation, Budget Formulation and Presentation*, June 1998.
- 2.11.12. A report compiled from information retrievable from the originating organization's own files and not generated solely due to the requirement for the report.

**2.12. Exemption Statement .** When you cite an exemption in an implementing publication, cite this instruction and appropriate paragraph as the authority for the exemption. For example: "The reporting requirement in this publication (chapter, paragraph, etc.) is exempt from licensing in accordance with AFI 33-324, *The Information Collections and Reports Management Program; Controlling Internal, Public, and Interagency Air Force Information Collections.*"

**2.13. Assigning Report Control Symbols .** ICR managers will assign RCS symbols according to [Figure 2.1](#).

**Figure 2.1. Assigning an RCS Symbol.**

\_\_\_ (1) - (2) ---- (3)

EXAMPLE: HAF-DPP(Q)9809:

- (1) Functional Address Symbol of the Requester.
- (2) Report Frequency:
- (D) Daily
  - (W) Weekly
  - (M) Monthly
  - (BM) Bi-Monthly
  - (Q) Quarterly
  - (SA) Semiannually
  - (A) Annually

(BE) Biennially

(AR) As Required

(OT) One Time

(3) Four-Digit Number. The first two numbers in 9809 represent the calendar year assigned (1998); the last two represent the sequence of the report (the ninth report issued for HQ USAF in 1998).

## Chapter 3

### PUBLIC INFORMATION COLLECTIONS

**3.1. How *The Act* Bears on Collecting Information from the Public.** Public Law 104-13 and its implementing regulation, Title 5 CFR Part 1320, cover the policy for collecting information from the public. *The Act* attempts to minimize the Federal paperwork burden on the public. This chapter provides:

3.1.1. The procedures for requesting OMB approval for establishing, revising, and canceling public information collections (see [Attachment 1](#), Terms).

3.1.2. Guidelines on preparing and submitting OMB Form 83-I, **Paperwork Reduction Act Submission**; supporting statements; and pertinent documentation.

**3.2. The Scope of *The Act*.** *The Act* applies to all executive departments, military departments, government corporations, government-controlled corporations, and other establishments in the Executive Branch of the Federal Government. All of the Federal Government's independent regulatory agencies must adhere to it.

**3.3. Agencies Exempt From Licensing Public Information Collections .** *The Act* exempts the following agencies from licensing public information collections:

3.3.1. The Federal Election Commission.

3.3.2. All Congressional and Judicial Agencies.

3.3.3. The General Accounting Office (GAO).

3.3.4. Governments of the District of Columbia and territories and possessions of the United States.

3.3.5. Government-owned contractor-operated (GOCO) facilities and production operations.

**3.4. The Annual Information Collection Budget--RCS: DD-C3I(A)1680, *ICB Annual Plan*.** (See [Attachment 1](#), Terms.)

3.4.1. ICR managers will respond to the annual call for projected ICBs.

3.4.2. Submit your responses to HQ AFCA/ITC, ATTN: Air Force IMCO, 203 W. Losey Street, Scott AFB IL 62225-5222.

**3.5. New and Revised Public Information Collections .** The ICR managers ensure that organizations requesting public information submit each new and revised request for OMB approval according to paragraph [3.7](#).

**3.6. Expired Public Information Collections .** The OMB licenses a public information collection for three years, according to *The Act*. All public information collections carry an expiration date. **NOTE:** An expired public information collection is an illegal collection of information and you must discontinue it until given proper approval.

**3.7. Office of Management and Budget Approval Application Procedures .**

3.7.1. The organization component that generates the public information collection must request approval and licensing from OMB.

3.7.2. Public information requesters submit the following information to their component ICR manager:

3.7.2.1. HQ AFCIC/ITC publishes a 60-day FRN, prescribed in AFI 37-120, *Federal Register* (will convert to AFI 33-320). After the 60-day comment period, HQ AFCIC/ITC sends the package to the Office of the Secretary of Defense.

3.7.2.2. An OMB Form 83-I. Include at least two key words from the *GAO Thesaurus* in item 9. The *GAO Thesaurus* is available on the AFCA web page at [www.afca.scott.af.mil/corp-info/icr.htm](http://www.afca.scott.af.mil/corp-info/icr.htm). Comply with the specific instructions in OMB Form 83-I. Use these instructions when preparing the OMB Form 83-I and the supporting statement.

3.7.2.3. A supporting statement (see [Attachment 2](#)).

3.7.2.4. A copy of the instrument of collection in final draft version. If the instrument of collection is a form, the agency's forms management office prepares the final draft according to procedures in AFI 33-360 Vol. 2.

3.7.2.5. If the instrument of collection is not a form, contact your ICR manager for instructions on referring to an OMB approval number, expiration date, and Agency Disclosure Notice (ADN) on the final draft of your survey, questionnaire, or letter. See the ADNs listed in paragraph [3.8](#).

3.7.2.6. The title page and pertinent sections of any regulatory and statutory authorities.

3.7.2.7. If applicable, a letter of justification (paragraphs [3.11](#) through 3.14).

3.7.2.8. A copy of the published FRN.

3.7.3. The OPR provides the ICR manager the original and four copies of OMB Form 83-I and applicable documentation listed in paragraph [3.7.2](#) to HQ AFCA/ITC, ATTN: Air Force IMCO, 203 W. Losey Street, Scott AFB IL 62225-5222.

### 3.8. Agency Disclosure Notice .

3.8.1. Display the following ADN at the top of the instrument of collection immediately under the OMB control number and expiration date: "The public reporting burden for this collection of information is estimated to average XX minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to Department of Defense, Washington Headquarters Services (WHS), Directorate for Information Operations and Reports (DIOR), (XXXX-XXXX [enter 8-digit OMB control number]), 1215 Jefferson Davis Highway, Suite 1204, Arlington VA 22202-4302. Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to any penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number." **NOTE:** Do not return your form to the above address. Return completed form to (enter address or instructions as applicable).

**3.9. Processing Time.** Allow at least 6 months to process a request for OMB approval. Send the request through the following channels:

3.9.1. Submit the FRN with a 60-day comment period through your MAJCOM or HQ USAF functional ICR manager, who, in-turn, sends the request to the Air Force IMCO. (FOA ICR managers must send their requests through their HQ USAF functional ICR manager.)

3.9.2. After the comment period, submit the OMB Form 83-I package. The Air Force IMCO sends the OMB Form 83-I to the DoD Clearance Officer.

3.9.3. The DoD Clearance Officer forwards the OMB Form 83-I package to OMB and publishes a second FRN with a 30-day comment period.

3.9.4. OMB must rule on the OMB Form 83-I request within 60 days after the 30-day publication period in the *Federal Register*. This 90-day period is used to give the public an opportunity to comment on this information collection.

**3.10. Emergency Processing .** Within DoD, the Assistant Secretary of Defense for Command, Control, Communications, and Intelligence (ASD [C3I]) may request emergency processing of a collection of information under the following circumstances:

3.10.1. When the collection of information is needed prior to the expiration of time periods established in *The Act* and is essential to the mission of the agency.

3.10.2. When the agency cannot reasonably comply with normal clearance procedures under *The Act*, reference (g) because: (1) Public harm is reasonably likely to result if normal clearance procedures are followed; (2) An unanticipated event has occurred; or (3) The use of normal clearance procedures is reasonably likely to cause a statutory or court-ordered deadline to be missed.

3.10.3. Public harm would be prevented, if for example, strategies to combat a public health epidemic depend on information in a survey that needs to be fielded immediately. An example of an unanticipated event would be a natural disaster that has led to the need to provide benefits quickly to the victims. The use of emergency clearance procedures is warranted if a new statute is passed that requires implementation of an information collection within clearly shorter time frames called for in *The Act* and specify the time period within which OMB should approve or disapprove of the collection (5 CFR 1320.18). Control numbers assigned to collections of information approved under the "emergency processing" procedures are not valid for more than 90 days from the date the agency requested approval.

3.10.4. Prepare each request for emergency processing for the signature of DoD's CIO, the ASD (C3I). You must include a justification meeting the guidelines quoted below from 5 CFR 1320.18:

3.10.4.1. 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 that will prevent the collection of information or cause a statutory or judicial deadline to be missed if normal procedures are followed.

3.10.4.2. Information indicating that it (the agency) 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.

**3.11. Request for Extension** . Organizations having primary responsibility for a currently licensed public information collection may request a 90-day extension. This request is submitted when additional time is needed to prepare the request for an OMB review for a collection that is expiring. The request must be signed by the OPR that signed the OMB Form 83-I. The use of extensions is strongly discouraged by OMB. Insufficient planning or administrative oversight does not warrant using an extension.

**3.12. Out-of-Cycle Requests** . The Air Force must identify requests for OMB review for a new public information collection in the annual Air Force ICB submission. If not, they are considered "out-of-cycle" requests. Include a letter of explanation regarding why the collection was not included in the Air Force ICB when requesting approval of an out-of-cycle request.

**3.13. Acquisition-/Procurement-Related Public Information Collections** . OMB has approved certain public information collections requested from Federal contractors. Acquisition-/procurement-related information collections flow through Air Force acquisition channels for licensing when organizations request them in connection with:

3.13.1. Specific sections in *the Federal Acquisition Regulation* (FAR).

3.13.2. The *Defense Federal Acquisition Regulation Supplement* (DFARS).

3.13.3. Specific sections of the *Air Force FAR Supplement* (AFFARS) and subordinate agency clauses to these regulations.

3.13.4. All public data collections necessary to comply with the FAR and AFFARS requirements may not be currently approved by OMB. Process and approve information collections according to the procedures in paragraph 3.7., if OMB has not previously approved them. FAR and DFARS clauses require OMB approval through acquisition channels before they are published for Air Force use.

3.13.5. The inclusion of a reporting or record-keeping requirement in a contract work statement or any other contractual provision or exhibit does not fulfill the requirement for an OMB approval or a waiver, as appropriate.

3.13.6. RCS numbers assigned to DoD, HQ USAF, and MAJCOM internal reports do not authorize the report or related feeder information to be levied as a public reporting requirement upon any "person" or contractor. Reporting and record-keeping requirements involving the collection of information from non-Federal agencies, Air Force production or service contractors, or other industrial and commercial companies or manufacturers are subject to a specific prior public reports clearance. Such requirements that are approved are identified by the citation of an OMB approval number or an exemption statement, as appropriate.

**3.14. Canceling an Office of Management and Budget-Approved Information Collection.**

3.14.1. OPRs must notify ICR managers in writing if they no longer need a public information collection.

3.14.2. The ICR managers send the cancellation notification to HQ AFCA/ITC, ATTN: Air Force IMCO, 203 W. Losey Street, Scott AFB IL 62225-5222.

3.14.3. The Air Force IMCO then sends the request for cancellation to WHS/DIOR who informs the OMB.



**3.15. Generic Clearance Streamline Process .** The OMB has devised the "generic clearance" to streamline the clearance process in "Resource Manual for Customer Surveys." A generic clearance is a master plan for conducting one or more data collections termed "tasks." Review occurs in two steps: A full review of the overall plan followed by quick review of the actual details of each task.

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

3.15.2. Requirements. You must subject the overall plan to the full clearance process and the 60-day FRN must provide the public with a basis for comment similar to a collection approved under normal clearance procedures.

**3.16. Exemptions to Office of Management and Budget Licensing Procedures .** Organizations need not submit public information collections described in paragraphs **3.16.1.** through 3.16.16 for OMB approval:

3.16.1. Affidavits, oaths, affirmations, certifications, receipts, changes of address, consents, or acknowledgments, provided that they entail no burden other than that necessary to identify the respondent (name, address, and identification number). However, any of these documents requesting respondents to provide information relating to the information being certified would require OMB approval.

3.16.2. Samples of products or of any other physical objects.

3.16.3. Facts or opinions obtained by direct observation by an employee or agent of the sponsoring agency or in response to non-standardized oral communication in connection with such direct observation.

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

3.16.5. Information from individuals (including those 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 disorders.

3.16.6. Facts or opinions requested from a single person. However, if the law requires the request or it is necessary to obtain a benefit, you must inform the proposed respondent that the collection is not subject to OMB approval because it is addressed to nine or fewer persons. The absence of such a statement may result in the imposition of the public protection clause of *The Act*.

3.16.7. Examinations designed to test the aptitude, abilities, or knowledge of the persons tested and the collection of information for identification in connection with such examinations.

3.16.8. Facts or opinions obtained or solicited at or in connection with public hearings or meetings.

3.16.9. Information solicited through non-standardized follow-up questions designed to clarify responses to approved collections of information.

3.16.10. Like items so designated by OMB.

3.16.11. Collections of information from Federal employees within the scope of their employment, unless you plan to use the results for general statistical purposes.

3.16.12. Members of the Armed Forces serving on active duty and their family members, and retired members of the Armed Forces when they are surveyed within the context of the *FY 1986 Defense Authorization Act*, Section 804, *Surveys of Military Families*.

3.16.13. Information collections addressed to nine or fewer persons; however, agencies are required to ensure that collections of information required by law or necessary to obtain a benefit, and which are submitted to nine or fewer persons, inform potential respondents that the collection of information is not subject to OMB review under *The Act*.

3.16.14. Collections of information conducted by compulsory process pursuant to the *Antitrust Civil Process Act* or Section 13 of the *Federal Trade Commission Improvements Act of 1980*.

3.16.15. Collections of information during the conduct of intelligence activities as defined in Sections 3.4e and 3.4f of Executive Order 12333, *United States Intelligence Activities*, December 4, 1981, or successor orders; and during the conduct of cryptoanalytic activities that are communications security activities.

3.16.16. Collections of information during the conduct of Federal criminal, civil, or administrative action with respect to a specific party. This exemption is a limited one. It applies only after a case file or its equivalent is opened with respect to a particular party. It does not apply prior to the opening of such file, and therefore does not apply to:

3.16.16.1. Complaints or allegations of individuals or other persons that form the basis for the agency's subsequent opening of a case file, even though the file is opened immediately upon receipt of the complaint allegation.

3.16.16.2. General investigations that are not focused on a particular party.

3.16.16.3. General collections of information about a category of individuals or entities such as a class of licensees or an industry.

## Chapter 4

### INTERAGENCY REPORTING REQUIREMENTS

**4.1. The Purpose of Controlling Interagency Reporting Requirements .** This chapter covers procedures for monitoring and licensing reporting requirements that the Air Force imposes on another Federal agency (see [Attachment 1](#), Terms) or reporting requirements that another Federal agency imposes on the Air Force.

**4.2. The Scope of Interagency Reporting Requirements .** The General Services Administration (GSA) approves interagency reporting requirements according to the provisions of 41 CFR, Subchapter B, and Subpart 101-11.204, *Interagency Reports Management Program*.

**4.3. Information Collections and Reports Managers' Procedures for New and Revised Interagency Reports.** Component and organization ICR managers:

4.3.1. Review all requests for interagency reporting requirements for accuracy and compliance with procedures in this instruction.

4.3.2. Review for redundant reporting requirements.

4.3.3. Ensure that any interagency reports generated within their organizations remain current. Interagency reporting requirements expire after 3 years.

4.3.4. Advise the Air Force IMCO of the requirement.

4.3.5. Submit the original request and four copies of the documents listed in paragraph [4.4](#). to HQ AFCA/ITC, ATTN: Air Force IMCO, 203 W. Losey Street, Scott AFB IL 62225-5222.

4.3.6. The Air Force IMCO:

4.3.6.1. Contacts the DoD Interagency Reports Coordinator to determine duplicate reporting, availability of information, and requirements for cost estimates from other agencies.

4.3.6.2. Allows responding agency 30 days to reply to requests for cost estimates for existing or proposed interagency reports and to comment on each proposed new or revised reporting requirement.

4.3.6.3. Authorizes the requesting organization, through their ICR manager, to submit the request for an interagency report.

4.3.6.4. Submits the Air Force request for an interagency report to DoD.

**4.4. Interagency Reports Application Procedures .** This section covers procedures to develop, revise, and cancel interagency reports imposed on other Federal agencies by the Department of the Air Force. Organizations generating interagency reporting requirements submit the documentation described in paragraphs [4.4.1](#). through [4.4.4](#) through their ICR manager to the Air Force IMCO, to request approval and licensing with an IRCN.

4.4.1. The original Standard Form (SF) 360, **Request to Approve an Interagency Reporting Requirement** (number of copies to be determined by the ICR manager).

4.4.2. A final draft copy of the instrument of collection.

4.4.2.1. If the instrument of collection is a form, the local Forms Management Office prepares the final draft according to procedures in AFI 33-360 Vol. 2.

4.4.2.2. If the instrument of collection is not a form, write in "IRCN: \_\_\_\_\_" in the upper right-hand corner and just below that, "Expiration Date: \_\_\_\_\_."

4.4.3. Attach a completed AF Form 130, showing the cost estimates.

4.4.4. Responding agencies:

4.4.4.1. Agencies responding to an interagency reporting requirement must reply within 30 calendar days to written requests for cost estimates for an existing or proposed interagency report.

4.4.4.2. Responding agencies must also submit their comments within 30 calendar days on any proposed reporting requirement.

**4.5. Noncompliance Provision .** Responding agencies will refrain from responding to any interagency reporting requirement not approved by GSA and will inform the Air Force IMCO of the unlicensed requirement.

**4.6. Discontinuing an Interagency Report .**

4.6.1. The OPR notifies all respondents in writing when an interagency report is no longer needed and sends a copy to their component or organization ICR manager.

4.6.2. The ICR manager sends a copy to the Air Force IMCO.

**4.7. Organizations Exempt From Licensing Interagency Reports .** Legislative Branch requirements in statutes or congressional committee requests, and Judicial Branch requirements in court orders or other judicial determinations are exempt from interagency licensing procedures.

**4.8. Reporting Requirements Exempt From Interagency Licensing Procedures .** Information collections and reports described in paragraphs **4.8.1.** through 4.8.4 are exempt from interagency reporting requirements.

4.8.1. Interagency reporting requirements for security-classified information. **EXCEPTION:** Do not waive interagency reporting requirements for non-security-classified information, even if the requesting agency assigns a security classification later.

4.8.2. Operating documents exchanged between and among Federal agencies (see **Attachment 1**, Terms).

4.8.3. Presidential requirements in presidential directives.

4.8.4. OMB budgetary, program review and coordination, and legislative-clearance requirements.

**4.9. Form Prescribed.** AF Form 130, **Application for a Report Control Symbol (RCS).**

GARY A. AMBROSE, Brig Gen, USAF  
Acting Director, Communications and Information

**Attachment 1****GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION*****References***

Executive Order 12333, *United States Intelligence Activities*, December 4, 1981

Public Law 96-511, *The Paperwork Reduction Act of 1980* (amended by Public Law 104-13, *The Paperwork Reduction Act of 1995*)

Title 5, CFR, Part 1320, *Controlling Paperwork Burdens on the Public*

41 CFR 101-11.204, *Interagency Reports Management Program*

44 U.S.C. 3502, *Public Printing and Documents*, “Coordination of Federal Information Policy”

Air Force Federal Acquisition Regulation Supplement (AFFARS)

*Antitrust Civil Process Act* (also know as the Clayton Act)

Defense Federal Acquisition Regulation Supplement (DFARS)

Federal Acquisition Regulation (FAR)

*Federal Trade Commission Improvements Act of 1980*

*FY 1986 Defense Authorization Act*, Section 804, “Surveys of Military Families”

*GAO Thesaurus* (Legal Rights)

ACP 121/USSUP 1, *Communications Instructions-General*

DoD 7000.14-R, Volumes 2A and 2B, *Department of Defense Financial Management Regulation, Budget Formulation and Presentation*, July 1998

DoDD 8910.1, *Management and Control of Information Requirements*, June 11, 1993

DoD 8910.1-M, *Department of Defense Procedures for Management of Information Requirements*, June 1998

AFPD 37-1, *Air Force Information Management* (will convert to AFPD 33-3)

AFI 33-110, *Data Administration Program*

AFI 33-112, *Computer Systems Management*

AFI 33-332, *Air Force Privacy Act Program*

AFI 33-360 Vol. 2, *The Air Force Publications and Forms Management Programs--Developing and Processing Forms*

AFI 36-2601, *Air Force Personnel Survey Program*

AFI 37-120, *Federal Register* (will convert to AFI 33-320)

AFI 37-138, *Records Disposition—Procedures and Responsibilities* (will convert to AFMAN 33-322 Vol. 3)

AFMAN 37-123, *Management of Records* (will convert to AFMAN 33-322 Vol. 2)

AFMAN 37-139, *Records Disposition Schedule* (will convert to AFMAN 33-322 Vol. 4)

***Abbreviations and Acronyms***

**ADN**—Agency Disclosure Notice

**AFFARS**—Air Force FAR Supplement

**AFCAT**—Air Force Catalog

**AFI**—Air Force Instruction

**AFMAN**—Air Force Manual

**AFPD**—Air Force Policy Directive

**ASD (C3I)**—Office of the Assistant Secretary of Defense for Command, Control, Communications, and Intelligence

**CIO**—Chief Information Officer

**CFR**—Code of Federal Regulations

**DFARS**—Defense Federal Acquisition Regulation Supplement

**DIOR**—Directorate for Information Operations and Reports

**DoD**—Department of Defense

**DoDD**—Department of Defense Directive

**DRU**—Direct Reporting Unit

**ESC**—Emergency Status Code

**FAR**—Federal Acquisition Regulation

**FOA**—Field Operating Agency

**FRN**—*Federal Register* Notice

**GAO**—Government Accounting Office

**GOCO**—Government-Owned Contractor-Operated

**GSA**—General Services Administration

**HQ AFCA**—Headquarters Air Force Communications Agency

**HQ USAF**—Headquarters United States Air Force

**ICB**—Information Collection Budget

**ICR**—Information Collections and Reports

**IMCO**—Information Management Control Officer

**IRCN**—Interagency Report Control Number

**MAJCOM**—Major Command

**OF**—Optional Form

**OMB**—Office of Management and Budget

**OPR**—Office of Primary Responsibility

**RCS**—Report Control Symbol

**ROTC**—Reserve Officer Training Corps

**SAF**—Secretary of the Air Force

**SF**—Standard Form

**USAFMS**—United States Air Force Museum System

**U.S.C.**—United States Code

**WHS**—Washington Headquarters Services

**WWW**—World Wide Web

### *Terms*

**Agency Disclosure Notice (ADN)**—The ADN is a statement used for public information collections. It is put on the instrument of collection as close to the current OMB control number as practicable. It is the agency's disclosure of the estimated average burden hours per response and a request that the public direct any comments concerning the accuracy of this burden estimate and any suggestions for reducing this burden to the agency and to OMB's Office of Information and Regulatory Affairs (OIRA).

**Current Federal Employees and Military Personnel**—Current employees of the Federal Government and military personnel, IF, the collection of information is addressed to them in their capacity as individual private citizens (e.g., they file income tax returns, census forms, or other survey, or administrative forms in the same manner as persons not currently employed by the Federal Government or serving in the Armed Forces). **EXCEPTION:** Current employees of the Federal Government, military personnel, military reservists, and members of the National Guard are not considered members of the public when they are asked to provide information that falls within the scope of their employment and when asked for information about their duty status.

**Federal Agency**—A department, independent agency, commission, or establishment of the Executive Branch.

**Information Collection Budget (ICB)**—The Federal Government's projected burden on the public for new requirements to collect information. It is the estimated response time (direct and indirect) for the public to collect, record, and submit information to the Federal Government. Each year the OMB issues a "budget call" for the Federal Government's ICB.

**Interagency Report**—Data or information 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 displayed on paper, magnetic tapes, or other media.

**Internal Information Collection/Reporting Requirement**—Data or information collected by one or more organizational components and transmitted to other organizational components for management purposes. The collections required for management purposes pertain to policy; planning, controlling, and evaluating operations and performance; making administrative determinations; and preparing other reports. It is status, summary, or statistical information in both electronic and manual information

systems.

**License**—Pertaining to an Air Force approval information collection/report process. Air Force information collections or reports are licensed once the Air Force Information Manager Control Officer or OMB approves the information collection. A license is good for 3 years.

**MINIMIZE**—A procedure used during periods of crisis or other abnormal periods to reduce the volume of record and long distance telephone traffic ordinarily transmitted electrically. MINIMIZE applies to all users of DoD communications systems. When MINIMIZE is imposed, users of DoD electrical communications must determine that: The information to be sent is required to avoid a seriously detrimental impact on mission accomplishment or safety of life; electrical transmission is the only way to get the information to the addressee in sufficient time to accomplish the purpose. (Allied Communications Publication [ACP]121/USSUP1)

**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 of operating documents include application forms, purchase orders, personnel actions, bills of lading, payrolls and time sheets, inspection or audit reports, and reports that involve direct command and control of military forces or cryptological activities related to national security.

**Public Burden or Burden Hours**—The total time, effort, or financial resources required to respond to a collection of information, including the time it takes 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.

**Public Information Collections**—Those collections that require responses from the public. The Act defines a collection of information to be: “The obtaining or soliciting of facts or opinions by an agency through the use of written report forms, application forms, schedules, questionnaires, reporting or record keeping requirements, or other similar methods calling for either: (1) Answers to identical questions posed to, or identical reporting or record keeping requirements imposed on, ten or more persons, other than agencies, instrumentalities, or employees of the United States; or (2) Answers to questions posed to agencies, instrumentalities, or employees of the United States which are to be used for general statistical purposes.” This includes information collections that are mandatory, voluntary, or required to obtain a benefit.

**Public or Person**—(as defined in 5 CFR 1320) Members of the public, or the term “person,” include individuals, partnerships, associations, corporations (including government-owned contractor-operated [GOCO] facilities), business trusts, legal representatives, organized group of individuals, state, territory, or local government. As to particular categories of “person,” OMB has determined: (1) Retired Federal Employees and Military Personnel on Inactive Status: The definition of “person” includes retired and other former Federal civilian employees. It includes retired and inactive military personnel, reservists and members of the National Guard unless you require information about their duty status. (The *FY 1986 Defense Authorization Act*, Section 804, states that the Secretary of Defense may conduct surveys of members of the Armed Forces serving on active duty, 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, consider them to be employees of the United States and



not members of the public.) (2) Reserve Officer Training Corps (ROTC): ROTC cadets are considered employees of the United States for purposes of 44 United States Code (U.S.C.) 3502, *Public Printing and Documents*, “Coordination of Federal Information Policy,” when providing information to instructors during classroom and other training activities. ROTC cadets under contract may be asked to provide further information, as employees of the United States, provided that the information they give remains entirely within the scope of their employment. (**NOTE**: For surveys of Air Force personnel see AFI 36-2601, *Air Force Personnel Survey Program*. Unless exempt, they may require licensing.)

**Public Protection Clause**—Regardless of any other provision of law, no person can be penalized for failure to comply with any collection of information that does not display a currently valid OMB control number; or, in the case of information required by law or to obtain a benefit that is submitted to nine or fewer persons, fail to state that it is not subject to OMB review under The Act. If an agency has imposed a collection of information as a means to satisfy or prove a condition for receiving a benefit, or to prevent a penalty, and the information collection does not display a currently valid OMB control number, the agency won’t treat a person’s failure to comply as grounds for withholding the benefit or imposing the penalty. The agency shall instead permit respondents to prove or satisfy the legal conditions in any other reasonable manner (5 CFR 1320.4).

**Report Control Symbol (RCS)**—A standard agency designation (control number) for a report consisting of letters or numbers indicating that the report has been reviewed and approved according to DoD- and Air Force-directed procedures.

**Similar Methods**—(as specified in the definition of “Public Information Collections” in this glossary) “Similar methods” includes contracts, agreements, policy statements, plans, rules or regulations, planning requirements, circulars, directives, instructions, bulletins, requests for proposals or other procurement requirements, telegraphic or telephonic requests, and standard questionnaires used to monitor compliance with agency requirements.

**The Act**—*The Paperwork Reduction Act*.

## Attachment 2

### SAMPLE SUPPORTING STATEMENT FORMAT

**A2.1. Sample.** A sample justification is at [Figure A2.1](#).

#### **Figure A2.1. Sample Supporting Statement.**

1. Justification. The justification for gathering personal data on volunteers for the United States Air Force Museum System (USAFMS) follows:

1.1. The USAFMS consists of the Air Force's National Museum at Wright-Patterson AFB OH, Air Force field museums, Air Force historical holdings, and airparks. The USAFMS is responsible for the acquisition, care, control, and disposition of all Air Force historical property. The USAF Museum depicts the general history of the Air Force. It maintains the prime Air Force historical collection for the Air Force and is responsible for preserving the Air Force's material culture and heritage. The museum's Manager of Volunteer Services is responsible for providing quality volunteers to assist in all areas of the museum's operation, and freeing salaried staff to fulfill their management, operations, and education responsibilities. The use of volunteers in military museum programs is authorized by Title 10 U.S.C. Chapter 81 Section 1588, and regulated within the Air Force by Air Force Instruction 84-103, *Museum System*. The museum encourages teamwork between salaried staff and volunteers so visitors are provided the best possible service. Volunteers contribute unique talent, skill, and knowledge of aviation history, as well as their valuable time, to provide personalized attention to the public. Information collected on the AF Form 3569, **USAF Museum System Volunteer Application/Registration** will be used by the volunteer program manager to determine applicant preferences for work assignment, special skills the applicant has, and the amount of time the applicant is willing to donate to the museum program. Basic personal data (name, address, telephone, etc.) will be used to contact the applicant after the application has been reviewed and a decision made on selection or rejection. Selection and work assignments throughout the museum will be based largely on the information provided on AF Form 3569. The form also will aid the volunteer program manager in determining the most effective means of recruitment. Emergency data is required to contact next of kin in the event of an emergency involving the volunteer.

1.2. Members of the public desiring to volunteer their time and talent to the USAF Museum Program will complete this information collection. Museums throughout the USAFMS will use the information provided to evaluate and select volunteers for their museum programs. If the data contained in the AF Form 3569 is not available, the museum system will have no meaningful way to select volunteers and match applicant skills and desires with individual museum needs.

1.3. Other methods were considered; however, there is no technological alternative. The data requested and the means of obtaining it have been reduced to the simplest level. No mailings are made; the data is collected at the museum; and the applicants provide it as they complete the form without the need of outside assistance.

1.4. Other Air Force programs were researched to determine the potential for duplication; the only other organized Air Force use of volunteers is in the area of family support. This form does not duplicate any document or form used in that program.

1.5. There is no similar information available.

1.6. This collection of information does not involve small businesses or other small entities.

- 1.7. Data is collected only once for each applicant; it cannot be collected less frequently.
- 1.8. The collection of information is not inconsistent with the guidelines in Title 5 Code of Federal Regulations (CFR) 1320.6.
- 1.9. Personal and telephone contacts were made in 1990 to USAF museums and agencies, non-Air Force museums, and nonprofit agencies for the purpose of examining and comparing different methods used to collect written, personal information from new volunteers. The number of outside organizations represented by these agencies is unknown.

1.9.1. Agencies and Volunteer Administrators Contacted:

- Ms. Carol Nash, Hill AFB Museum UT, DSN 458-6818
- Mr. Steve Draper, Lowry AFB Heritage Museum CO, DSN 426-3028
- Ms. Kay Wilz, March AFB Field Museum Foundation CA, DSN 947-3725
- Ms. Kathleen McCleskey, Langley AFB VA, DSN 680-2404
- Ms. Patricia Long, National Air & Space Museum, DC, (202) 357-1504
- Ms. Mary Williams, Veterans Administration Hospital OH, (513) 268-6511, Ext 2162
- Ms. Pamela Huber, Wright-Patterson AFB Family Support Center OH, DSN 787-3592
- Ms. Esther Burns, Wright-Patterson AFB Red Cross OH, DSN 787-9876
- Mr. Thomas Swanton, Tucson Air Museum of Pima County AZ, (602) 574-0462
- Ms. Jan Cullenen, Ohio's Center of Science and Industry Museum OH, (614) 228-2674, Ext 240
- Ms. Edna Riefner, Voluntary Action Center, Dayton United Way Agency OH, (513) 225-3068
- Ms. Shirley Hokenson, Retired Senior Volunteer Program, Springfield OH, (513) 323-4948
- Ms. Suzanne Edmundson, Retired Senior Volunteer Program, Dayton OH, (513) 223-8246

1.9.2. Results revealed that record-keeping requirements differ. Our conclusion was to develop a form to fit the needs of the USAF Museum and the USAF Museum Program. No other public contacts were made.

1.10. The *Privacy Act* statement on the AF Form 3569 assures compliance with the *Privacy Act*. Respondents are assured that only Air Force Museum personnel to effectively place the applicant in the USAFMS Volunteer Program use the information.

1.11. No sensitive information is requested.

1.12. Annual cost to the Federal Government and respondents:

1.12.1. Cost to the Government:

Printing.....	\$50
Review and Processing Time 15 min per form (GS-7 hourly wage \$10.88 x 15 min x 500 forms).....	1,360
TOTAL.....	\$1,410

1.12.2. Cost to Respondents:

Postage (\$.29 x 500).....	\$145
Form Completion Time 30 min per form (GS-7 Equivalent hourly wage \$10.88 x 30 min x 500 forms).....	2,720
TOTAL.....	\$2,865

1.13. It will take 500 annual applicants 30 minutes each to complete the form;  $30 \text{ minutes} \times 500 = 250$  annual burden hours. This information collection was not included in the FY 94 DoD Information Collection Budget (ICB) because it is a new requirement identified after budget submissions were completed.

1.14. This is a new form; therefore, the annual 250-hour burden is an increase to the OMB inventory.

1.15. Results will not be published.

1.16. Collections of Information Employing Statistical Methods. This collection of information does not employ statistical methods.