

Army Regulation 335-15

Management Information Control

Management Information Control System

**Headquarters
Department of the Army
Washington, DC
28 October 1986**

Unclassified

SUMMARY of CHANGE

AR 335-15

Management Information Control System

This change--

- o Updates the office symbol DAAG-OPI to DAIM-ADI-M.
- o Realigns responsibilities (chap 1).
- o Incorporates policy governing surveys of military families (chap 4).
- o Replaces requirement control symbols AG-864 with CSIM-14 (chap 4); AG-877 with CSIM-17, and AG-795 with CSIM-18 (chap 6).

Effective 28 November 1986

Management Information Control

Management Information Control System

By Order of the Secretary of the Army:

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General, United States Army
Chief of Staff

Official:

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The Adjutant General

History. The publication was originally printed on 15 December 1982. Change 1 was published 28 October 1986. This electronic edition publishes the basic 1982 edition and incorporates Change 1. Change 1 was authenticated by John A. Wickham, Jr., General, United States Army, Chief of Staff, and R. L. Dilworth, Brigadier General, United States Army, The Adjutant General.

Summary. This regulation consolidates the policy in AR 335-15 and AR 335-30. It prescribes policy and procedures for approving and reviewing information requirements and the data products that are prepared in response to these requirements.

Applicability. a. This regulation applies

to the Active Army, the Army National Guard, and the U.S. Army Reserve.

b. Specifically, it applies to management information requirements initiated by—

(1) Non-DOD Federal agencies and prepared by the Army.

(2) DOD agencies and prepared by the Army.

(3) Army and prepared by the Army, public sources listed in paragraph 4-2, and other Federal agencies.

Proponent and exception authority.
Not applicable

Army management control process.
This regulation is not subject to the requirements of AR 11-2. It does not contain internal control provisions.

Supplementation. Supplementation of this regulation and establishment of forms other than DA forms are prohibited without prior approval from HQDA (DAIM-ADI), WASH DC 20310-0700.

Interim changes. Interim changes to this regulation are not official unless they are authenticated by The Adjutant General. Users will destroy interim changes on their expiration dates unless sooner superseded or rescinded.

Suggested Improvements. The proponent agency of this regulation is the Office of the Assistant Chief of Staff for Information

Management. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to HQDA (DAIM-ADI), WASH DC 20310-0700.

Changes. Changes to the basic publication are shown using the strikethrough, underscore, and tint methods. Old material that is being deleted is lined out (struck-through). New material that is being added is underlined (underscored) or printed in a gray, shaded area (tinted). Material that is greatly reorganized is tinted.

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* This regulation supersedes AR 335-15, 26 October 1976; AR 335-30, 14 May 1976; DA Pam 335-1, 17 July 1959; DA Pam 335-2, 29 April 1959; and DA Pam 335-3, 29 April 1959. It replaces RCS CSOCS-234 with RCS AG-878, and RCS CSOCS-236 with RCS AG-877; and rescinds RCS CSOCS-235.

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Glossary

Chapter 1 Introduction

1-1. Purpose

This regulation prescribes responsibilities, policies, and procedures for the Army-wide Management Information Control System.

1-2. Applicability

(Moved to title page.)

1-3. Statutory authority

- a. Public Law 831, 77th Congress, Federal Reports Act.
- b. Public Law 96-511, 96th Congress, Paperwork Reduction Act of 1980.

1-4. Regulatory authority

- a. FIRMR Chapter 201, Federal Information Resources Management Regulation, 1 May 1984.
- b. Title 5, Code of Federal Regulations, Section 1320.
- c. DOD Directive 7750.5, Management and Control of Information Requirements, 7 August 1986.

1-5. References

Required and related references are listed in appendix A.

1-6. Explanation of terms

An explanation of abbreviations and terms is found in the glossary.

1-7. Responsibilities

a. *Assistant Chief of Staff for Information Management (ACSIM).* ACSIM is responsible for the Army Management Information Control System. Specifically, ACSIM will—

- (1) Establish policy, procedures, and standards for the operation of the Management Information Control System.
- (2) Interpret management information control regulations and procedures.
- (3) Provide guidance for information control operations.
- (4) Conduct a coordinated program to control the development of management information requirements.
- (5) Represent DA in all matters relating to control of management information requirements.
- (6) Promote efficiency and economy in developing management information requirements and serve as the focal point in this matter.
- (7) Withhold approval on any management information requirement if the suitability, coordination, essentiality, or costs have not or cannot be determined.
- (8) Inspect management information control methods and direct corrective actions as needed.

b. *Heads of HQDA agencies, major Army commands, subordinate commands, installations, and activities.* These heads will—

- (1) Manage and supervise the Management Information Control System within their jurisdiction.
- (2) Appoint a Management Information Control Officer (MICO). Report the name, office, and phone number of the MICO to the next higher level of command and furnish changes when they are made.
- (3) When required, designate Management Information Control Liaison Officers (MILCOs) to coordinate management information control matters with the MICO.

(4) Insure compliance with and enforcement of department policies and rules governing management information requirements and data products within their organization, including subordinate agencies and commands.

(5) Provide additional staffing and support as needed for the Army Management Information Control System.

c. *Reserve Component equivalent headquarters commanders.* These commanders will administer the Management Information Control System based on this regulation; however, recurring requests for management data initiated by these headquarters must be approved at US Army Reserve Command (ARCOM)/US Army Reserve General Officer Command (GOCOM)/State Adjutant General (AG) level.

d. *Management Information Control Officers (MICOs).* Within their jurisdiction, MICOs will—

(1) Advise the agency head or commander on the essentiality of proposed, revised, and amended management information requirements and their conformity with governing policy.

(2) Promote standard information collection methods and the use of DA standard data elements and codes in management information requirements.

(3) Interpret rules in this and related publications.

(4) Apply the Management Information Control System set forth in chapter 2, section II, and chapter 6 of this AR and in the AR 18 and TB 18 series that pertain to automatic data processing (ADP) products. Have the data processing activity (DPA) maintain the central file and register for each controlled ADP product. (A copy of the register will be provided the MICO at least quarterly.)

(5) Approve or disapprove management information requirements initiated by their agencies and prepared wholly by elements within their agencies.

(6) Reduce data collection burden by decreasing the frequency and amount of data requested when possible.

(7) Provide guidance within the agency or command on management information control policies.

(8) Insure DA Form 335-R (Application for Approval of Management Information Requirement) is completed for each nonexempt request initiated by their agency. DA Form 335-R will be locally reproduced on 8½ by 11 inch paper. A copy of the form for local reproduction is located at the back of this regulation.

(9) Advise on the availability of data and the most efficient method to collect and compile the data.

(10) Determine whether information requirements are controllable. Make the final decision when a question is raised as to whether a requirement over which they have jurisdiction is exempt. The HQDA MICO has jurisdictional control over Army-wide and multi-command management information requirements.

(11) Approve or disapprove the citation of exemptions listed in paragraph 5-2. (Ensure that the proper exemption is cited if the information requirement is exempt. Para 5-2 explains what items are exempt.)

(12) Assign, extend, revise, or rescind RCSs for Army-initiated information requirements within the MICO's jurisdiction.

(13) Manage periodic reviews of controlled management information requirements and ADP products, insuring that each requirement and product is reviewed at least every 3 years.

(14) Approve (for preparation within the agency) only requirements with valid RCSs or exemptions.

(15) Ensure that any violations of this regulation are reported to the initiating agencies. (Send an information copy of this notice to all addresses on initial directive and to each MICO in chain of command.)

(16) Maintain a list of recurring information requirements for which the agency or command is the proponent or preparing agency. (Forward a copy of the list, published at least yearly, to the MICO at the next higher level of command and to the preparing agencies involved. The list will be in a format similar to AR 335-11.)

(17) Maintain the organization's Management Information Control System files in accordance with AR 340-18 series, The Army Functional Files System (TAFFS).

a. *Information requirements controlled by the organization.* For these requirements MICOs will include the most recent copy of DA Form 335-R, DA Form 1086-R (Periodic Review of Management Information Requirements—Preparing Agency Comments and Recommendations), statements of exemptions granted under paragraph 5-2, and all requirement directives. DA Form 1086-R will be locally reproduced on 8½ by 11 inch paper. A copy of the form for local reproduction is located at the back of this regulation.

b. *Information requirements prepared within the organization but initiated outside the organization.* For these requirements MICOs will include copies of completed DA Forms 1086-R, correspondence initiated within the preparing agency concerning the specific data requests, and requirement implementing directives.

(18) Provide guidance to the MICO within their commands or

jurisdictional control as shown in paragraph 1–10. (*Figure 11 has been moved to paragraph 110.*) Coordinate with other MICOs to insure better control and more standard methods.

(19) Not comply with the data request if a condition described in paragraph *h*(2) occurs, but will decide if a violation exists and, if so, notify the requester. While awaiting reply, the MICO will—

(a) Determine if the urgency, the nature of the data requested, and the source of the request requires action be taken pending clarification of the violation.

(b) Notify the initiating agency, identify the directives involved, and provide other relevant details for that agency to take corrective action. Request any extension of due date that may be necessary if the directive is later authorized.

(c) Submit an information copy of communications to the MICO having jurisdiction and the MICO of any intermediate commands in the initiating channel.

e. Management Information Control Liaison Officers (MICLOs) will—

(1) Coordinate information control matters within principal staff agencies, to include the use of DA standard elements and codes specified in the AR 18–12 series.

(2) Assist in reviews of ADP products for which an agency is the system proponent.

f. Initiating agency heads or commanders. Initiating agency heads or commanders will—

(1) Justify needed information requirements, using DA Form 335–R.

(2) Properly cite RCSs or exemptions (app C or chap 5).

(3) As needed, change directives and forms to—

(a) Improve information requirements.

(b) Change the frequency, submission date, or workload, to meet the abilities of the preparing offices.

(4) Send out needed clarifications or interpretations of instructions.

(5) Ensure that current data about each requirement are available. Evaluate resulting impact of data calculation, processing, overtime, and operating cost. (These data may be obtained through special studies, frequent contact with preparers and users, or from the results of reviews of related information requirements.)

(6) Correct any violations of information control rules.

(7) Rescind a management information requirement when it is no longer essential.

g. Monitoring agency heads or commanders. Monitoring agency heads or commanders that handle Army actions on non-Army management information requirements will—

(1) Insure that requirements are implemented within the Army to the greatest advantage and convenience to the Army.

(2) Request the non-Army agency to cancel, change, or explain the information requirement if it is considered improper or burdensome.

(3) Be the initiating agency if implementing directives or supporting requests are needed within the Army to comply with the non-Army information requirement.

(4) Immediately change or rescind an Army implementing directive when the non-Army agency does the same for their information requirement.

(5) Prepare a DA Form 335–R and submit through the agency MICLO to HQDA MICO.

h. Preparing agency heads or commanders. Upon receipt of a new or revised management information requirement, the agency head or commander, in coordination with agency MICLO/MICO, will determine whether the request is controllable or exempt.

(1) *Requests that have been approved and assigned a control symbol in accordance with this regulation.* For these requests preparing agency heads or commanders will—

(a) Ensure prompt responses to controlled management information requirements. Pay particular attention to the timeliness, accuracy, and completeness of the data submitted, in full compliance with approved directives.

(b) Call to the attention of the initiating agency any request that duplicates or overlaps another controlled or exempt request.

(c) Obtain clarification or interpretation of instructions when necessary.

(d) Point out problems of data availability, submission dates, definition, and other problems of preparation.

(e) Make recommendations and suggestions on preparation of the data.

(f) Use existing data elements or the interim and standard data elements published in the AR 18–12 series when preparing data to meet user requirements.

(2) *Unauthorized data collection requests.*

(a) *Army agency initiated data request.* For these requests the preparing agency head or commander, in coordination with the MICLO/MICO, will notify the initiating agency that the request will not be complied with when—

1. The request is considered controllable and the directive does not cite an RCS.

2. The request cites an exemption that does not apply.

3. A request to resume preparation is received and cites an RCS that has been rescinded.

4. The request cites a questionable exemption or symbol.

5. A request for an exempt or controlled data collection appears to duplicate or overlap another collection request or appears to be in conflict with the objectives of the management information control system.

6. Repeated requests are received for one-time data collections that appear to overlap each other or indicate a need for recurring data request.

7. There is any apparent noncompliance with this regulation.

(b) *Non-Army initiated data request.* MICOs will advise preparers on courses of action if a request from a non-Army agency is received that violates this regulation.

i. Publishing or communications agency heads or commanders.

(1) *Organizations or agency heads or commanders engaged in preparing, editing, or approving copy for publication or engaged in the authentication or issuance of correspondence.* These heads and commanders will—

(a) Determine whether directives with information requirements have been approved by the MICO (DA Form 260 (Request for Printing of a Publication), part IV).

(b) Insure that no unauthorized information requirements are published or distributed.

(c) Insure that authorized directives include citations required by paragraph 1–9 *c*.

(2) *Army organization heads or commanders engaged in forms design and control.* These heads or commanders will—

(a) Review each form requesting management data.

(b) Insure that the proper RCS appears in the upper right corner of each management data submission form. (On multipage forms, the RCS may be affixed on the cover or first page only.)

(c) Insure the use of standard data element names and data items or codes from AR 18–12–1 through AR 18–12–10 for information requested on the form.

1–8. Objectives

The objectives of the Management Information Control System are to insure that—

a. Only mission essential management data are requested.

b. Directives that require management data—

(1) Are complete, clear, and brief.

(2) Comply with standard forms, terms, data elements, and source records.

(3) Provide simple, orderly, and flexible procedures and systems that can respond to mobilization quickly.

c. Advanced information technology is used when cost effective.

1–9. Policy

a. Army requests for the collection of management data not exempted under chapter 5 of this regulation will be controlled and kept up to date. They will be—

- (1) Identified by standard numbering patterns.
 - (2) Approved by a designated official.
 - (3) Reviewed periodically by initiating, monitoring, and preparing agencies.
 - (4) Revised or rescinded when management needs change.
- b.* Periodic reviews must be made of each management information requirement and data product at least once every 3 years.
- c.* Each directive that initiates a management information requirement will cite the title and requirement control symbol (RCS) in the table of contents and text. Each subsequent action that affects the information requirement will also state the title and the RCS.
- d.* Requirements not specifically exempt under chapter 5, which have not been approved, assigned an RCS, or in other ways do not conform to this AR, are unauthorized. Notice of an unauthorized information requirement will be made. (See 1–7 *d*(19).)

1–10. Management information control jurisdiction

Management information control jurisdiction is as follows:

a. Headquarters, Department of Army. Management Information Control Officer (MICO), Architecture Design and Control Division, Architecture Design and Control Directorate, Office of the Assistant Chief of Staff for Information Management (HQDA (DAIM–ADI–M)), has jurisdiction over—

(1) Requests for management data prepared by the public for all Army agencies.

(2) Management information requirements between the Army and the central or national office of a non-Army agency.

(3) Management information requirements initiated by HQDA or a subordinate command or agency, and prepared outside the command jurisdiction by a command or agency (Army or non-Army), except as noted in paragraph *b* below under HQ major Army commands.

b. HQ, Major Army Commands. Management Information Control Officer (MICO) has jurisdiction over—

(1) Internal management information requirements initiated by the command headquarters and prepared by subordinate organizations outside the headquarters.

(2) External management information requirements initiated by the command headquarters or a field element to that command and prepared by not more than one external command or agency provided that the MICO of the external command concurs. In the case of nonconcurrence, refer to HQDA(DAIM–ADI–M) WASH DC 20310–0700.

(3) Data requests initiated by a field or local office of a non-Army agency and prepared by elements of that command.

(4) Data requests developed for command-unique standard ADP systems.

c. HQ, Subordinate Commands, Installations, and Agencies. Management Information Control Officer (MICO) has jurisdiction over—

(1) Internal management information requirements initiated by the command, installation, or agency headquarters and prepared by subordinate organizations outside the headquarters.

(2) Data collection requests developed for local unique ADP systems.

d. HQDA Agencies/Macom Elements. Management Information Control Liaison Officer (MICLO) has jurisdiction over—

(1) Management information requirements initiated by the HQDA agency/MACOM element and prepared by a subordinate element or another part of the HQDA agency/MACOM element.

(2) Internal management information requirements when the initiator or proponent and the preparer are subordinate activities.

(3) Data collection requests for ADP systems unique to the HQDA agency/MACOM element.

Chapter 2 Initiating Management Information Requirements and Data Products

Section I Requesting Approval of Management Information Requirements

2–1. Scope

This section—

- a.* States the purpose of the requirement proposal.
- b.* Prescribes procedures for requesting approvals of Army-initiated management information requirements to be prepared by Army and/or other DOD agencies.
- c.* Gives the media for directives on management information requirements.

2–2. Purpose of the requirement proposal

The requirement proposal provides information, to the MICO with jurisdiction (para 1–10), which is used to—

- a.* Determine that the provisions of this and other Army regulations are met.
- b.* Evaluate a new or revised information requirement.
- c.* Approve an information requirement or to cite an exemption from control.

2–3. Procedures

a. Contents and submission of the requirement proposal. The initiating or monitoring agency will prepare a management information requirement proposal that contains—

(1) DA Form 335–R (Application for Approval of Management Information Requirement). DA Form 335–R will be reproduced locally on 8½- by 11-inch paper. A copy of the form for local reproduction is located at the back of this regulation. Submission will be as follows:

(a) Information requirements within an agency. Send two completed copies of form to the agency MILCLO/MICO.

(b) Information requirements outside the initiator's agency. Send three completed copies through the agency's MICLO to the MICO with jurisdiction (paragraph 1–10).

(2) DA Form 1167 (Request for Approval of Form). Staff with MICLO/MICO for each DA form to be used in the collection of data.

(3) DA Form 260 (Request for Printing of a Publication). When the management information requirement is proposed in an Army regulation, staff the draft of regulation with the MICO with jurisdiction before publication.

(4) Other preparer guidance.

b. Coordination. The initiating or monitoring agency staff officer will—

(1) Obtain coordination on all management information requirements before the project is implemented.

(2) Insure that the requested data satisfies as many requirements as possible on the subject matter.

(3) Coordinate proposed information requirements, new or revised, in advance with—

(a) The MICO with jurisdiction.

(b) A representative group of preparing agencies.

(c) Agencies that control resources, such as ADP support elements.

c. Distribution of directive on information requirements. Copies of the published directive containing approved and exempt information requirements will be provided the MICO with jurisdiction.

2–4. Data element standardization

Standard data elements must be used. Refer to AR 310–25 and AR 18–12 series for standard data elements to be used in completing data requests.

2-5. Media for directives

The media for directives containing management information requirements are as follows:

a. Official media. Management information requirements will be issued only through official channels using official media. Informal or technical channels or media will not be used to issue or amend management information requirements.

(1) An Army-wide information requirement will not be approved unless it is authorized in a directive that prescribes its use.

(2) Urgent information requirements may be prescribed by a message, which will be replaced by a published directive within 1 year of initiation.

(3) Media prescribing information requirements that will expire within 1 year of initiation will include a specific expiration date.

(4) The media will contain as a minimum, the RCS, its title, reporting format, and submission date. Figure 2-2 has become paragraph 2-5.1.

b. Distribution of media for rescissions or supersessions. Rescissions or supersessions will be published in a medium receiving the same distribution as that which initiated the management information requirement.

c. Nonpermanent media. The MICO with jurisdiction may authorize the issuance of a management information requirement in nonpermanent media (message, disposition form (DF), or time-limited letter) if issuance in permanent media is not economical; for example, less than 10 preparers of the data are involved.

2-5.1. Format for Directives

a. Organize directives prescribing management information requirements as shown below.

b. Include the request as a separate chapter or section, and list the following paragraphs (as needed) with proper responses:

- (1) Requirement title and RCS.
- (2) Purpose and scope.
- (3) Applicability. (Use this paragraph if the sole purpose of the directive is to prescribe the management information requirements).
- (4) Explanation of terms.
- (5) Preparers.
- (6) Negative reports. (Do not require negative reports without a written justification.)
- (7) Form supply (or format). (Do not require users to develop forms from formats.)
- (8) Frequency of submission, period covered, routing, submission date, and number of copies. (Break these down into separate paragraphs if needed.) (Do not prescribe that the data must "arrive not later than . . ."; prescribe the submission date.)
- (9) "As of" date.
- (10) Effective data.
- (11) Security classification.
- (12) Source of data.
- (13) Preparation instructions.
- (14) Related management information requirements.
- (15) Automatic rescission.

2-6. Final review

A final review should be conducted (by initiating activity) on the proposal for an information requirement before submission to the MICO with jurisdiction. Table 2-2 has become figure 2-1. The checklist is for use in the final review of the management information requirement before submitting it to the MICO with jurisdiction (para 1-10) and should insure that all actions have been taken.

Section II

Requesting Approval of Automatic Data Processing (ADP) Products

2-7. Scope

This section prescribes the means of control and procedures for requesting approval of ADP products. Other basic procedures for

managing ADP products are contained in the AR 18 and TB 18 series.

2-8. Means of control

ADP products are controlled by the assignment of a product control number (PCN). Structure for the PCN is outlined in TB 18-103.

2-9. Procedures

a. The MICO with jurisdiction control (para 1-10) will—

(1) Apply the Management Information Control System, as set forth in this regulation, to ADP products.

(2) Monitor provision of data in existing ADP files or data bases to requesters served by the DPA.

(3) Monitor assignment of PCNs.

(4) Maintain, or arrange to have the DPA maintain, a central file and register for each recurring ADP final product. Include the following items.

(*a.*) RCS, if applicable.

(*b.*) PCN and title.

(*c.*) List of data element names.

(*d.*) Copy or description of the format, including output medium.

(*e.*) Identity of the initiating agency and all recipients.

(*f.*) Number of copies produced.

(*g.*) The "as of" date or period covered.

(*h.*) Frequency.

(*i.*) Identity of directive establishing requirement.

(*j.*) Cost of obtaining data and producing product.

(*k.*) Other information considered essential.

b. Initiators of ADP products will—

(1) Request approval of all final ADP products sent out as hardcopy, cards, tapes, or microform.

(*a.*) *Products of new or changed information systems.* For those products from multisite automatic systems, send two copies of DA Form 4560-R (Application for Approval of ADP Product) through the agency's MICLO/MICO to the system proponent. (DA form 4560-R will be reproduced locally on 8½- by 11-inch paper, head-to-head) A copy of the form for local reproduction is located at the back of this regulation. For those products from local systems, send two copies of DA Form 4560-R through the agency's MICLO/MICO to the data processing activity (DPA).

(*b.*) *Products extracted from current system data bases or unique source data.* For these products send two copies of DA Form 4560-R through the agency's MICLO/MICO to the DPA.

(2) Exercise separate procedures set forth in AR and TB 18 series regulations for electronic transmission of data between ADP elements and remote terminal facilities.

(3) Submit DA Form 335-R for RCS approval by the MICO in addition to DA Form 4560-R if the requested ADP product requires changing the content of the data base, changing submission date or frequency, and is not an exempt management information requirement under paragraph 5-2. Only one RCS is needed when the request encompasses two or more products that are based upon related data, obtainable from one primary source.

(4) Submit an engineering change proposal (ECP) in accordance with TB 18-110 when a change in the content or format of the data base of a standard multicommand automatic system is required.

2-10. Instructions for Completion of DA Form 335-R

Instructions for items that are not self-explanatory are listed below.

a. Item 1—THRU: Enter name/office symbol for the Management Information Control Office of the agency initiating requirement.

b. Item 2—TO: Enter name of Management Information Control Office having jurisdiction.

c. Item 3—FROM: Enter name of organizational entity initiating or monitoring the request in enough detail to permit ready identification, including mailing address.

d. Item 5—Date. Enter date in the DOD standard format of YY MM DD (AR 18121).

e. Item 9—Frequency. Enter standard name for occurrence frequency as specified in DOD standard "Occurrence Frequency." (See AR 18121 and AR 33511.)

f. *Item 11—Submission date.* Enter date(s) responses are due at requesting office. Use DOD standard format of YY MM DD.

g. *Item 13—Minimize.* If requirement to be transmitted electrically, enter “MIN” to indicate continued electric submission under MINIMIZE conditions or “NON-MIN” to indicate submission by other than electrical means during MINIMIZE condition. If not transmitted electrically, enter “NA.”

h. *Item 14—Mobilization status.* Indicate status of the requirement under conditions of mobilization or national emergency in the following way: No change (NC), Modify (M), Rescission (R), or if prepared only in case of mobilization (MOB).

i. *Item 15—Security classification.* Enter standard data element (DE) name specified in DOD standard, “Security Classification,” in AR 181210.

j. *Item 17—Approval requested by.* Show signature and title of a responsible person of the requesting agency. Normally, this will be a division chief or equivalent.

k. *Item 22—Cost estimate.* Enter cost estimates developed in accordance with appendix B.

l. *Item 23—Conformance with data elements and codes standardization program.* This refers to the use of existing interim data elements (IDEs) or standard data elements (SDEs) published in the AR 18 series. If the information proposal involves use of interim or standard data elements listed in the AR 18 series, record the IDE or SDE identification number. If the proposal involves use of elements not listed in the AR 1812 series, or proposes changes or additions thereto, explain and indicate that approval for the changes/additions has been obtained from the designated assigned responsible agency (ARA).

m. *Item 24—Preparing agencies.*

(1) *Column a.* List each agency or group of agencies involved in preparing data for the requirement. Typical illustrations of preparing agencies are as follows:

(a) *HQDA agencies.* OSA, each staff agency (Deputy Chief of Staff for Personnel (DCSPER), Deputy Chief of Staff for Logistics (DCSLOG), Comptroller of the Army (COA), etc.).

(b) *CONUS agencies.*

1. MACOMs (US Army Training and Doctrine Command (TRADOC), US Army Forces Command (FORSCOM), US Army Materiel Command (AMC), etc.).

2. Each installation

3. Each national inventory control point (NICP)

4. Each civilian personnel office (CPO)

5. Each finance and accounting office (F&AO) (Fort Riley, Fort Belvoir, Fort Hood; Each DPA)

(c) *Overseas agencies.*

1. MACOMs (US Army, Europe (USAREUR); US Army, Japan (USARJ), etc.).

2. Each installation

3. Each CPO

(2) *Column b.* Enter number of elements corresponding to each line in column a.

(3) *Column c.* Enter total submissions per year by all elements on each line of column a.

n. *Item 25.* For approved requests, the signature of the Management Information Control Officer, date of approval, and assigned RCS will be entered where indicated.

requirements be submitted to the General Services Administration (GSA) for approval before implementation.

3-2. Procedures

a. Requirement initiators within DA will—

(1) Complete DA Form 335-R.

(2) As early as possible, agencies will discuss new or revised data requests with the MICO, HQDA (DAIM-ADI-M) for coordination with Office, Assistant Secretary of Defense (OASD) (Comptroller) and GSA. This action is to determine possible duplicate data sources, potential availability of data, cost estimating techniques to be used, impact on preparers, and management’s need for the information.

(3) Obtain SF 360 (Request for Clearance of an Interagency Reporting Requirement) from HQDA (DAIM-ADI-M).

(4) Submit three completed copies of SF 360 through the agency MICLO/MICO to HQDA (DAIM-ADI-M) for transmittal to OASD (Comptroller) and GSA for review and approval action. Include the purpose of the data request and estimated costs. Also include three copies of the proposed directive, forms, and any other related papers. If not approved, GSA will return request for justification or denial. If approved, an interagency report control number (IRCEN) will be assigned.

(5) After assignment of an IRCEN by GSA, prepare a formal directive (which includes citation of the IRCEN), requesting the needed data; submit three copies through agency MICLO/MICO to HQDA (DAIM-ADI-M). This office will forward the directive to GSA.

(6) When the data are no longer required, advise all preparers and GSA through HQDA (DAIM-ADI-M).

b. Implementing agencies within DA will—

(1) Report interagency data requests received without GSA approval or an IRCEN to HQDA (DAIM-ADI-M).

(2) Respond to approved requests.

(3) Submit cost estimates as shown in appendix B or in OASD (Comptroller) instructions.

(4) Prepare formal directives to levy data requests or other Army agencies if necessary, including the IRCEN cited by GSA.

(5) Submit two copies of the requiring directive and Army directive through agency MICLO/MICO to HQDA (DAIM-ADI-M).

3-3. Exemptions

a. Title 41 CFR 201-45.6 exempts the types of data requests below from formal GSA review and approval procedures:

(1) Presidential.

(2) Legislative branch.

(3) Judicial branch.

(4) OMB budgetary.

(5) One-time data collections of minor respondent burden.

(6) Selected independent regulatory agency data requests.

b. Army agencies receiving a data request for implementation that is exempt from GSA review will advise HQDA (DAIM-ADI-M). If Army control action is needed, the implementing agency will submit DA Form 335-R and process the data request under this AR. HQDA (DAIM-ADI-M) will assign an RCS to such requests after review and approval.

Note. Some management information requirements in the exempt group are assigned control symbols by OASD (Comptroller) before being forwarded to an Army agency. In such cases that symbol applies, but a DA Form 335-R will be provided to HQDA (DAIM-ADI-M) for record purposes.

Chapter 3

Army Interagency Management Information Program

3-1. Scope

This chapter prescribes policies and guidance for the Army Interagency Management Information Program. Title 41 Public Contracts and Property Management, Code of Federal Regulations (CFR) Section 201-45.6 requires that interagency management information

Chapter 4

Requests for Management Data From the Public

4-1. Scope

a. This chapter prescribes procedures for requesting Office of Management and Budget (OMB) approval of certain data collection requests from the public and states policies extracted from the

Paperwork Reduction Act 44 U.S.C. 3501–3520; P.L. 99–145; Title 5, Code of Federal Regulations, Section 1320 and DOD Directive 7750.5. . The Paperwork Reduction Act of 1980 requires OMB approval of these requests levied on the public by Federal agencies.

b. Army agencies requesting data from the public (10 or more persons, contractors, or non-Federal agencies) must receive OMB approval. At the earliest time possible, agencies will discuss new or revised data requirements with the HQDA MICO, for coordination with OASD (Comptroller) and OMB.

4–2. Categories of data requests

Data requests from the public are those levied on—

a. Individuals, non-Federal agencies, or business (excluding Acquisition Management System (AMS) contractors).

b. AMS contractors who provide goods and services with accompanying data requirements.

4–3. Information Collection Budget (ICB)

a. A Senior Army official designated according to an OMB directive will submit an annual ICB, which will protect the management information needs from the public by DA for the next fiscal year. The number of hours required by public respondents to prepare Army data collection requests will be limited by a ceiling assigned by OMB.

b. The HQDA MICO will inform agencies proposing a new or revised data collection from the public if their proposal is within the current assigned ceiling.

c. Data collection requests proposed after submission of the ICB that exceed the ceiling will be disapproved unless the Secretary of Defense (SECDEF) certifies to an emergency need for the data.

4–4. Information Collection Allowance (RCS CSIM–14)

Upon request by HQDA MICO, functional agency officials will provide annual updates on each approved public data collection request. This information requirement is assigned the report number RCS CSIM–14. It will conform to guidance published annually by OMB.

4–5. Sponsoring collection of data

When an agency sponsors a data request from the public wherein contractors, grantees, or other persons are the collectors of information, it will insure that—

a. Data are collected to comply with this chapter.

b. Submitted proposal is complete.

c. Data collection does not begin without OMB approval.

4–6. Consideration of utility and burden

Each agency must insure the results of the data request justify the burdens placed on respondents. Agencies will consider—

a. The limited clerical, financial, management, and/or statistical staffs of small businesses and other organizations.

b. The number of respondents.

c. Frequency and difficulty of collection, and number of data items.

d. Whether all items of data to be furnished or recorded are essential to the central purpose of the plan, report, or information system.

4–7. Exemptions

Data collection requests from the public listed below are exempt from approval.

a. Information collected from nine or fewer public respondents.

b. Affidavits, oaths, certifications, notices of change of address, and forms used as receipts for articles or services.

c. Collection of data for identification or classification in connection with laboratory research and clinical investigations.

d. Proceedings resulting from judicial and quasijudicial actions, such as those before hearing examiners or judges.

e. Requests exempted by the OMB clearance officer that do not call for data of extensive volume or importance.

f. Intelligence collection activities as defined in section 4–206 on

original of Executive Order 12036, issued January 24, 1978, or successor orders.

g. Information requested outside the United States and its territories from foreign nationals, non-US agencies, or businesses.

h. U.S. Government employees providing job related information. However, OMB has in special cases revoked this exemption.

i. Surveys of Active duty family members and retired members of the Armed Forces.

4–8. Requests for approval

a. *Initiators.* Army proponents or Army-sponsored data collectors will initiate requests for approval.

b. *Forms.* Initiators will obtain forms through normal publication supply channels.

(1) SF 83 (Request for OMB Review). SF 83 is the transmittal document to be used for all new or revised data requests from the public.

(2) SF 83A (Instruction for Requesting OMB Approval under the Federal Reports Act as Amended).

c. *Frequency.* The frequency of the request for approval is as needed.

d. *Number of copies.* One.

e. *Routing.* The data collection proposal will be forwarded from agency MICLO/MICO to HQDA MICO, (DAIM–ADI–M), WASH DC 20310–0700 (for transmittal to OASD (Comptroller)), then to OMB.

4–9. Procedures

a. *Form submission.*

(1) Request clearance on SF 83. Submit supporting statement and other items required by SF 83A.

(2) Submit requests for extensions or revised data collection requests at least 90 days before the proposed effective date. Submit requests for new OMB approvals at least 120 days before the end of fiscal year for consideration in projected ICB. Early submissions are recommended.

b. *Requests for approval of revised data collection requests.* Any revision or change to a data request needs approval from OMB. Such revisions include—

(1) Changes in the kind or amount of data requested.

(2) Changes in the type of respondents or the survey coverage.

(3) Increases in the timing or frequency of data submission.

(4) Changes in the sample design or collection method.

(5) Changes in the purpose for which the data are collected.

4–10. Evidence of approval

a. Information collections requested from nine or fewer respondents, and not otherwise exempt, will contain the following statement: This data request is to nine or fewer respondents: therefore, OMB approval under section 3507, title 44, United States Code is not required.

b. Each form, questionnaire, manual, or other implementing directive requesting data from 10 or more members of the public, and not otherwise exempt from control, will display a current OMB approval number in the upper right-hand corner of the first page. If an agency does not display a valid OMB control number or a statement that the data request is to nine or fewer persons, no person will be subject to any penalty for failure to maintain information for, or provide information to that agency. In addition, a respondent will be considered to have satisfied the condition for which the information was intended and cannot be denied a benefit.

c. The HQDA MICO will transmit OMB approval numbers and expiration dates to proponent agencies. These agencies will correct forms and directives and indicate the current OMB approval number. The proponent agency will provide, to HQDA MICO, one copy of the final data collection request or reporting requirement, with accompanying transmittal letter and instructions.

4–11. Termination of approval and use

No OMB approved data request will be used after its expiration date. Extensions must be resubmitted (in the same way as new

requests) for OMB approval. If OMB withdraws its approval, the collection request will be discontinued.

Chapter 5 Exempt Management Information Requirements

5-1. General policy

Requests of the types listed in paragraph 5-2 are exempt from management information control. Exemptions will be cited only after approval of the MICO with controlling jurisdiction (para 1-10). Exempt data collection requests will be identified by a citation similar to the following:

RCS exempt: AR 335-15, paragraph 5-2 *a*(4).

The citation will be placed immediately after the request for data.

5-2. Exemptions

The types of management information requirements and documents below are exempt. (To fully qualify, those requests exempt under *a* and *b* below must be used in day-to-day operational activities and further conform to the rules in para 5-3 and 5-4.)

a. Requests for—

- (1) Assignment order.
- (2) Disposition, mailing, or shipping instructions.
- (3) Travel authorizations.
- (4) Grant or loan authorizations.
- (5) Data collection approvals.
- (6) Resource authorizations (funds, personnel, equipment, supplies, and services).
- (7) Corrective actions (for example, extension of a deadline or elimination of hazardous condition).

b. Documents that accomplish—

(1) Fiscal, accounting, or disbursing transactions to include vouchers, invoices, block tickets, bills, sales slips, credit slips, receipts, stop payment forms, timesheets, payrolls, statements of charges, separate ration requests, and tax returns.

(2) Procurement, supply, or property accountability actions to include invitations to bid, requests for proposal, bid specifications, requisitions and purchase orders, guarantees and surety bonds, claims, receipts, ration requests, issue slips, shipping droppage reports, reports of survey, receiving reports, inspection documents, laboratory diagnoses and test results, and procurement and maintenance reports.

(3) Transportation actions involving individual shipments or movements to include bills of lading, manifests, passenger lists, traffic diversions, reconsignment documents, traffic releases, notices of actual or scheduled arrivals or departures, transit time data sheets, and road clearance requests.

(4) Personnel actions relating to and prepared by a person to include applications for employment or admission, job descriptions, oaths of office, classification or qualification documents, aptitude or proficiency tests, security clearance documents, directory or locator cards, signature cards, and notices of change of address.

(5) Individual personnel actions prepared by an organization. These include documents such as appointment documents, efficiency or performance evaluations, aptitude or proficiency reports, installation clearances, notices of change of employment or assignment, individual flight records, and notices of casualty status, including notices of death, missing, serious illness, or wounded in action.

(6) Legal actions such as an agreements, leases, permits, claims, licenses, contracts, lien affidavits, charge sheets, depositions, testimonies, or records of trial proceedings.

(7) School or training program administrative actions such as programs of instruction, courses or class schedules, academic report cards, and requests, for, or notices of, quota.

(8) Medical, dental, and veterinary administrative actions relating to an individual patient. These include documents such as requests for hospital designation, interhospital transfers, patient disposition

instructions, personal histories, patient transfers or disposition notices, evacuee reports, laboratory diagnostic tests, immunization records, findings of a medical board, birth or death certificates, and notices to State and local agencies of communicable diseases.

(9) Requirement actions for research and development and production of material systems items and associated actions.

(10) Control of the transmission of documents to insure their intact condition.

c. Requests for simple facts such as the—

- (1) Ability or inability to comply with a directive.
- (2) Change of an address.
- (3) Occurrence of an event.
- (4) Existence of a disaster, emergency, alarm, warning, alert, or security compromise.

(5) Violation of a law, regulation, or procedure. (This exemption does not apply if extensive compilation or research over and above normal operations (see the glossary) is required to provide the information, nor does it apply to notices required to be submitted on a periodic basis.)

d. Publications such as catalogs, manuals, pamphlets, technical bulletins, regulations, office and telephone directories, public information releases, news, letters, and magazines.

e. Requests for management data that relate to—

(1) General Accounting Office (GAO) or Army Audit Agency (AAA) findings and recommendations or responses to such findings and recommendations.

(2) Intelligence matters submitted to an intelligence agency.

(3) Inspector General (IG) reports of inspection, investigation, inquiry, or survey, and the complaints or requests for assistance submitted to the IG.

(4) Legal proceedings that are necessary to justify or substantiate a charge, complaint, claim, or violation of a law or regulation. This will include minutes of formally constituted boards or committees required to conduct such proceedings.

(5) Trip reports required by authorizing organizations.

(6) Technical and training inspections and the status of resulting actions.

(7) After action reports and findings of duly appointed boards, task forces, study groups, or survey teams.

(8) Engineering, service, or troop test reports prepared by the using or developing agency.

f. Corrections or explanations concerning inaccurate or missing information in an existing information system. (This exemption does not apply if extensive compilation or research over and above normal operations is required to supply or justify the corrections or explanations, nor does it apply to requests for resubmission in whole or in part because of inadequate or revised instructions.)

g. Recommendations or evaluations as to existing or proposed plans, policies, procedures, organizations, missions, publications, agencies, or courses of action, including comments or concurrences that are part of the routine clearance of proposed actions or publications. (This exemption does not apply if extensive compilation or research over and above normal operations is required, not does it apply to recommendations or evaluations required to be submitted on a periodic basis.)

h. Requests for nominations of—

(1) Personnel for appointment to or designation for schools or training courses, committees or boards, teams or contests, honors or awards, specific positions, promotions and training, or active duty.

(2) A product, material, service, activity, or organization for a contest, honor, or award.

i. Operational documents, other than those previously identified, that flow as part of a routine procedure on a periodic or “as required” basis.

j. A one-time management information requirement that is prepared by not more than one agency and that does not require extensive compilation or research over and above normal operations. “One agency” refers to the agency preparing and transmitting the data. For example, a data request prepared by a single installation but transmitted to the requester through several intermediate agencies is considered as being prepared by “one agency.”

k. A personal interview form or test, provided such form or test is either completed by a representative of the initiating agency or completed in the presence and under the direct supervision of such a representative.

l. Interagency and DOD management information requirements declared exempt by OMB, GSA, or OASD (Comptroller). (See para 3-3 and 4-7 for specific exemptions.)

m. A one-time management information requirement, initiated by HQDA and prepared by one or more elements of HQDA or of HQ major commands or other organizations that report directly to HQDA, that requires neither implementation to subordinate commands, agencies, installations, units, or activities, nor any extensive compilation or research over and above normal operations. (In management information control procedures established by subordinate commands or agencies in accordance with this regulation, this exemption may be applied, at the option of the headquarters concerned, to management information requirements initiated by that headquarters and prepared by elements of the next subordinate command or agency.)

n. Any other management information requirement not specifically identified above determined by the MICO to conform to the intent of the exempt categories, if this exemption is specifically cited in the requesting or implementing directive in accordance with requirements of paragraph 3-3.

o. Impact statements to include cost estimates, and equipment and personnel data pertaining to a specific data collection and needed to make recommendations on a course of action.

5-3. Exemptions—qualifying rules under paragraph 5-2 a and b

Exemptions under paragraph 5-2 a and b apply to data in documents that are used in day-to-day actions that conform to the rules below (for example, forms or their equivalent, such as formats, messages, letters, and telephone calls).

a. The document containing the data must flow from the preparer to an immediate staff officer or recordkeeping agency.

b. Normally the data will flow as part of a routine, standard procedure on a periodic or “as required” basis. Infrequently, however, it may be prescribed on a one-time basis. The documents may flow either individually or in batches.

- c. The document or its contained data must be used as—
- (1) The basic medium to create, speed up, or complete the action.
 - (2) The basic record of the action.
 - (3) The supporting document of the action.
 - (4) The posting medium for the basic record of the action.
 - (5) A combination of the above.

d. Normally exempt collection requests become subject to control when the data submitted in response are used—

- (1) In place of submitting, tabulated, compiled, or summarized data.
- (2) For statistical, research, or analysis purposes.
- (3) For audit purposes.
- (4) For program supervision, planning, programming, or budgeting.
- (5) For appraising program effectiveness.

5-4. Citations of exemptions

a. HQDA exempt management information documents include many thousands of operating forms such as those described in paragraphs 5-2 a through k. To require an exemption citation in each case would interfere with the day-to-day operations of the Army; therefore, in actual operation at HQDA, only management information requirements whose exemption status is doubtful are referred to the HQDA MICO for determination. At major command and subordinate levels, however, if it is believed that preparing agencies may be confused without an explicit citation, such a citation may be provided by the MICO of the implementing command in the implementing directive, even though no exemption was cited in the incoming directive.

b. A directive may contain several management information requirements, one or more of which may be controlled, obviously exempt, or not so clearly exempt. In such directives an RCS will be assigned to the controlled request; exemptions will be cited for each collection request that is not obviously exempt.

c. The exemption categories are not mutually exclusive; consequently, any one of several paragraphs could be cited properly for some management information requirements. In such cases, the choice is immaterial so long as the selected citation applies.

Chapter 6 Periodic Review of Management Information Requirements and ADP Products

Section I Introduction

6-1. Scope

This chapter provides for the periodic review of all recurring controlled management information requirements and data products. Reviews apply to requests initiated by other DOD and non-DOD Federal agencies as well as those initiated by the Army. Since a single request may include the need for many data products, the information control system includes two separate and distinct periodic review actions as follows:

a. *Management information requirements.* Management information requirements initiated or monitored by Army Staff (ARSTAF) agencies, major Army commands (MACOMs), subordinate commands, installations, and activities. The review of these requirements stresses preparer comments that relate to improvements in data content and to the workload and cost of providing the data. Requirements are evaluated, comments considered, and corrective action taken as appropriate.

b. *ADP products.* Recurring ADP management information products prepared in hardcopy, microform, card, or tape. Each recurring ADP product is evaluated for effectiveness, content, format, frequency, distribution, and transmission media based on users' comments. ADP products are scheduled for review when related data requests are being reviewed. Review is evaluated and corrective action is taken as appropriate.

6-2. Review goals

The goals of the review are to—

- a. End nonessential management information requirements and ADP products.
- b. Revised information requirements and directives to meet changed conditions.
- c. Make essential information requirements and ADP products more useful and less burdensome at all levels.
- d. Improve data entry methods, forms, and directives.
- e. Reduce frequency, number of copies, and distribution of data products.

6-3. Managing the review

a. *Management information requirement review.* Each agency or command MICO/MICLO listed in paragraph 1-10 will manage the review of information requirements under its control. Detailed procedures for the review are outlined in sections II and III.

b. *ADP products review.*

- (1) For all ADP products of a major automated system, the system functional proponent will manage the review.
- (2) For locally developed ADP products, the local functional proponent will manage the review monitored by the MICO/MICLO with jurisdiction.
- (3) Detailed procedures are outlined in sections II and IV.

6-4. Review guidelines

a. The review will combine evaluation of the current need for and uses of the data with workload and cost impact at all levels.

b. Actual experience in preparing and using the data will be used as the basis for the review, to include—

(1) Analyses done and actions taken on the reported data at all levels.

(2) Comparing present use with the plans presented when the collection request or ADP product was started or last reviewed.

(3) Appraising the effect of changes in organizations, missions, policies, and programs on—

(a) Need for the data.

(b) Data preparation and recordkeeping agencies.

(4) Analyzing the preparing or using agency comments to improve information requirements and ADP products or to reduce workload.

c. MICOs and system proponents will use statistical sampling methods in data collection and standard ADP systems product reviews .

d. Initiating or monitoring agencies must prove that the need for the data still exists. The system proponent or MICO with jurisdiction will assess each response.

e. A management information requirement initiated by an agency outside the Army will be subject to the same type of evaluation to the extent permitted by relations with that agency.

f. Unless the essentiality of an Army-initiated information requirement is affirmed and the resulting cost and workload fully justified, the requirement will be rescinded.

6-5. Frequency of the review

a. Re-examine each new information requirement (or one that has undergone major changes) after two or three data submissions.

b. Establish an annual schedule so that each information requirement and ADP product is reviewed at least once every 3 years, except for—

(1) Requirements not in existence long enough for analysis.

(2) Requirements suspended or to be discontinued during the period of the review schedule.

(3) ADP products used for internal system control, as defined in the glossary, rather than for management data.

Section II Management Information Requirement and ADP Product Review Schedule

6-6. Purpose of the schedule

This schedule is to insure that all management information requirements and ADP products are reviewed at least once every 3 years by the preparing agency.

6-7. Preparers

The preparers of the review schedule are as follows:

a. MICOs with control jurisdiction for management information reviews.

b. Proponent agencies of major automated systems for ADP product reviews.

c. Local functional proponents, monitored by MICO/MICLO with jurisdiction, for unique ADP system product reviews.

6-8. Submission date, number of copies, and routing

a. *Management information requirement reviews.*

(1) The HQDA MICO will prepare and dispatch two copies of DA Form 1085-R (Management Information Requirement and ADP Product Review Schedule) to independent agencies and MACOM MICOs not later than 60 calendar days before each fiscal year. DA Form 1085-R will be reproduced locally on 11- by 8½-inch paper. A copy of the form for local reproduction is located at the back of this regulation.

(2) MICOs with jurisdiction (para 1-10) will insure the lowest level reviewer receives the schedule in time to act before the first review date.

b. *Major automated system product reviews.* The system proponent will prepare and dispatch annual schedules to selected preparing or using command or installations not later than 60 calendar days before each fiscal year.

c. *Local unique ADP system product reviews.* Functional proponents, monitored by MICO/MICLOs with jurisdiction, will prepare and dispatch, an annual schedule to servicing DPAs not later than 60 calendar days before each fiscal year.

6-9. Procedures

a. HQDA MICO, MICOs with control jurisdiction in MACOMs and independent agencies, and major automated system proponents will—

(1) Schedule Army-initiated information requirements and ADP products that are similar in content, or otherwise related, for reviews in the same time period.

(2) Arrange schedules to provide an even workload each month and to facilitate simultaneous review of related internal information requirements and ADP products.

(3) Schedule information requirements initiated by non-Army agencies for review when Army-initiated information requirements and ADP products that are feeders or are otherwise related are scheduled for review.

b. Independent agencies and MACOM MICOs will use schedules received from the HQDA MICO when preparing local DA Forms 1085-R for scheduling representative samples of subcommands or installations that respond to information requirements.

Section III Management Information Requirement Review

6-10. Periodic Review of Management Information Requirements—Preparing Agency Response and Recommendations (DA Form 1086-R) (RCS CSIM-15)

a. *Purpose.* This review provides a coordinated means to submit problems, comments, and workload and cost estimates for management information requirements.

b. *Procedures.*

c. *Submission dates.* Subordinate command and agency MICOs will set suspense dates to allow time to process and submit reviews to MICOs with control jurisdiction (para 1-10).

d. *Number of copies and routing.* DA Forms 1086-R will be submitted as soon as each review category is complete. One copy of each completed DA Form 1086-R will be submitted through agency MICLO/MICO to MICO with jurisdiction, within 20 workdays after the review month listed on DA Form 1085-R. DA Form 1086-R will be reproduced locally on 8½- by 11-inch paper, head-to-head. A copy of the form for local reproduction is located at the back of this regulation.

6-11. Procedures for making review decisions and taking corrective actions

The MICO with jurisdiction will—

a. Review the need for and uses of the requested data—

(1) Analyze files for the data request under review, including changes and comments from past reviews or special studies.

(2) Check copies and other related materials in the files of the action office of the initiating or monitoring agency.

(3) Analyze and screen DA Forms 1086-R received for the review, attaching comments to DA Form 5170-R (Proponent Management Information Requirement Review) for proponent review. DA Form 5170-R will be locally reproduced on 8½ by 11 inch paper. A copy of the form for local reproduction is located at the back of this regulation. Number each attached comment and place total in item 10 of DA Form 5170-R. When DA Forms 1086-R can be consolidated to provide a cost estimate of the total data requirement, that cost will be entered in item 7 of DA Form 5170-R.

(4) Analyze the information requirement directive for accuracy and currency of information shown in AR 335-11.

(5) Check forms to decide whether they are current and comply with the directive.

b. After proponent review using DA Form 5170-R, decide, with the initiating or monitoring agency, on the continued need for the data and for corrective action.

c. Coordinate assigned target dates for correcting problems with the initiating, preparing, monitoring, or using offices.

d. Close the review for the fiscal year if, in the judgment of the MICO, no problems exist with the information requirement.

6-12. Proponent Management Information Requirement Review (DA Form 5170-R) (RCS CSIM-16)

a. *Purpose.* The purpose of DA Form 5170-R is to—

(1) Transmit to the proponent of an information requirement, a coordinated data collection review that contains—

- (a) Problems.
- (b) Comments.
- (c) Recommendations.
- (d) Workload estimates.
- (e) Cost estimates.

(2) Insure the proponent considers improvements and justifies the management information requirement.

(3) Serve as a record of proponent review.

b. *Preparers.* Preparers of the proponent review are initiating or monitoring agency proponent staff officers.

c. *(Rescinded.)*

d. *Number of copies, routing, and submission dates.* Preparers will complete two copies, one to be retained by functional proponent's MICO and the second, forwarded to the MICO with jurisdiction.

6-13. Review record

The MICO with jurisdiction will keep records of review actions in enough detail to support the conclusions reached and the actions proposed.

a. A suggested outline for a review record is provided in (1) through (6) below. Remarks or notes will refer to pertinent documents, such as DA Form 1086-R.

(1) Justification for and uses of the current information or proposed changes described by current management information control standards and policy.

(2) Source and nature of any problems, recommendations, comments, and proposed actions and reasons for advising rejections or changed acceptances.

(3) Other findings and considerations that may influence the final action taken.

(4) Conclusions reached and the proposed action advised.

(5) Estimate of—

(a) Current workload and costs.

(b) Workload and costs if the proposed actions are taken.

(6) Target dates for recommended actions, including the proposed—

(a) Effective date of recommended action.

(b) Date of request for management information control approval.

b. Use DA Form 5170-R to question staff officers and record the findings and proposed actions. When completed, it will serve as a proponent review record.

6-14. Completed action on reviews

After the review of a data requested by a staff agency—

a. The MICO with jurisdiction will—

(1) Decide whether the request should be ended, continued without change, or revised.

(2) Direct the initiating or monitoring agency to correct any problems by assigned target dates.

b. The initiating or monitoring agency, if unable to meet target dates, will advise the MICO with jurisdiction and coordinate new target dates.

6-14.1. Instructions for Preparing DA Form 1086-R

a. *Items 1-5.* Self-explanatory.

b. *Section A. Workload and cost.* Use the best available data to

estimate the workload and cost of the data collection. Include the costs of all resources required to prepare the data personnel, ADP equipment and software, and other). If exact costs cannot be obtained, use cost ranges (app B).

(1) *Column a.* The organization or unit that prepares or combines the DA Forms 1086-R. Group agencies by organizational level and specify the level as either battalion, division/brigade, installation/subcommand, or MACOM.

(2) *Column b.* Number of organizations, units, groups of organizations, or units corresponding to each entry in column a.

(3) *Column c.* Total number of submissions per year by units shown on each line of column a. For example, for a monthly request, there are 12 submissions per year for the number in column b (i.e., $12 \times$ column b).

(4) *Column d.* Estimated number of man-hours per year expended by all elements in column a in preparation and consolidation of the data. This is obtained by estimating hours that would end if the data collection ended. Include military and civilian supervisory and clerical man-hours. Include man-hours to collect, process, and format data in total.

(5) *Column e.* Total direct personnel cost. Guidance for cost estimating and using cost factors is in appendix B.

(6) *Column f.* Total ADP cost. DPA will provide these costs.

(7) *Column g.* Cost of supplies and materials used to produce the data.

(8) *Column h.* Other direct costs not included in columns f, g, or i necessary to prepare and maintain data.

(9) *Column i.* Indirect and overhead costs, such as facilities, supervision, and administrative support. See appendix B for guidance in estimating overhead cost.

(10) *Item j. Total cost.* Total of columns e, f, g, h, and i.

c. *Section B.* Enter any problems, comments, and recommendations. Send them to the functional proponent for action, as needed.

d. *Section C.* Duplicate information being reported. List data elements from forms, if known.

e. *Section D.* The forwarding command MICO will indicate whether the form is a consolidated report for the MACOM and explain preparing agency remarks, as needed. The forwarding command will not change preparing agency comments.

f. *Section E.* The MICO with jurisdiction will enter any major review results, such as initiator action obtained from DA Form 5170-R, and forward to the reviewing agency MICLO/MICO.

Section IV

ADP Recurring Products Review and Evaluation

6-15. ADP Product Review Comments (DA Form 4503-R) (RCS CSIM-17)

a. *Purpose of the review.* The main purpose of the ADP recurring products review is to ensure the continued need of recurring ADP products. Recurring products include those requested on an as-required basis.

b. *Scope of the review.*

(1) All recurring ADP final products will be reviewed, whether RCS controlled or exempt, if they are—

(a) Produced and sent from a data processing activity (DPA) as hardcopy, microform, card, or tape.

(b) Produced as part of a multisite major automated system, or as part of an installation (local) system with unique applications.

(2) The following products will not be reviewed:

(a) One-time products.

(b) Information obtained from remote terminal inquiry of direct-access data bases.

(c) System control products (see the glossary).

(3) Management of remote terminal usage is an integral part of the DPA management system governed by AR 18-7 and, therefore, not included in this regulation.

c. *Review policy.*

(1) DA Form 4503-R will be used in the review. DA Form 4503-R will be reproduced locally on 8½- by 11-inch paper, head-to-head. A copy of the form for local reproduction is located at the

back of this regulation. The review will consist of written comments from servicing DPAs, users of ADP products, and system proponents and the MICO with jurisdiction. The review will include—

(a) Current use of the product, and—

1. Intended purpose versus actual use.
2. Need for all data in the product.
3. Conciseness versus duplication of information available elsewhere.

4. Correct format and output medium.
5. Frequency and number of copies.

(b) Evaluation of workload, resources, and cost of the product related to the benefits gained.

(2) Proponent agencies and MICOs with jurisdiction will select users when establishing review schedules by using statistical sampling methods .

(3) The need for the product and the workload, resources, and cost impact must be justified.

(4) The proponent agency, monitored by the MICO with jurisdiction, will establish the continued need for a product. For multisite major automated systems, the proponent agency will use the product review to decide whether to end, change, or continue the reviewed product. For other system products, the MICO with jurisdiction will make the final decision on continued need for the products, based on the user analysis and proponent agency justification.

(5) Each product to be continued will be changed, as needed, to follow Army standards and policy. Any changes will be processed under control methods in AR 70-37, TB 18-110, and TB 18-115.

(6) During each review, use of computer output microfilm (COM) will be considered for use when cost effective.

(7) Products will be changed as proposed by users, consistent with results of proponent agency reviews in paragraph 6-2.

d. Review procedures.

(1) *System functional proponent.* The system proponent agency will manage the review of ADP products for which it is the proponent and will—

(a) Ensure that PCNs are assigned to ADP products.

(b) Prepare and send out an annual review schedule, using DA Form 1085-R. ADP products listed by PCN will be reviewed by sampling data preparers and users.

(c) Insure that all ADP products are reviewed on a continuing basis over a 3-year timeframe.

(d) Analyze DA Forms 4503-R submitted by DPAs and product users, and complete sections D and E as appropriate.

(e) Decide on the continued need for the product.

(f) Work to obtain correction of the product requirement.

(g) Submit a quarterly summary for major automated systems as required in section 3.

(2) *MICO with jurisdiction.* MICOs with jurisdiction will monitor reviews and validate those quarterly summaries submitted to HQDA (DAIM-ADI-M).

(3) *Responsible staff MICLO.* The MICLO of the responsible staff office will review completed DA Forms 4503-R, send them to the system proponent of the automated system, and furnish a copy to the agency MICO.

(4) *Servicing DPA.* Each servicing DPA will—

(a) Maintain workload and cost data for ADP products.

(b) Complete sections A and B of DA Form 4503-R.

(c) Select sample of users in coordination with the system proponent to review product need.

(d) Complete section E of DA Form 4503-R in coordination with system proponent.

(5) *Users and recipients.* Product users and recipients that are selected by sampling techniques to review the product will—

(a) Complete section C on DA Form 4503-R.

(b) Review the products they use for continued need.

(c) Suggest product improvement.

(d) Forward DA Form 4503-R through MICLO of the responsible staff office to the system proponent.

6-16. ADP Product Review Evaluation (DA Form 4503-1-R) (RCS CSIM-18)

a. Purpose of the evaluation. The ADP product review evaluation reflects Army-wide savings resulting from reviewing ADP-recurring products.

b. Preparers. The preparers of this evaluation are the system proponent agencies of major automated systems.

c. Form supply. DA Form 4503-1-R will be reproduced locally on 8½- by 11-inch paper, head-to-head. A copy of the form for local reproduction is located at the back of this regulation.

d. Frequency, period covered, routing, submission date, and number of copies. Two copies will be submitted through the agency MICLO to MICO with jurisdiction. Evaluations are due 1 month after the preceding quarters.

6-17. Instructions for Completion of DA Form 4503-R

a. Section A. Self-explanatory.

b. Section B. Include actual personnel, ADP, material, and overhead costs of operations. Guidance for using cost factors and for cost estimating is in appendix B.

(1) *Item 13a.* Man-hours annually = total hours of work by personnel required to prepare input and produce and distribute output during the past 12 months.

(2) *Item 13b.* Man-hour cost = average hourly wage of personnel referenced in item 12a.

(3) *Item 13c.* Personnel cost annually = (man-hours per year reported in item 13a) × (personnel cost per hour reported in item 13b).

(4) *Item 13d.* ADP hours annually = (average hours of effective production time to produce the product once) × (the number of times it is produced in a year).

(5) *Item 13e.* ADP cost/hour = ADP hardware costs per hour, excluding personnel and supplies.

(6) *Item 13f.* ADP costs annually = ADP hours × cost/hour (item 13c × item 13e).

(7) *Item 13g.* Annual material costs = cost of supplies used to produce the data.

(8) *Item 13h.* Other costs = all direct costs not included under personnel, ADP, material or overhead costs, with explanation, as needed.

(9) *Item 13i.* Annual overhead costs = cost of facilities, supervision, administrative support, etc.

(10) *Item 13j.* Total of items c, f, g, h, and i.

(11) *Item 14.* Enter comments as to impact of continuing, ending, or changing the product, on cost and workload.

(12) *Item 15.* Self-explanatory.

c. Section C. Self-explanatory.

d. Section D. The system proponent will complete this section. The MICLO of responsible staff agency (see para 6-15d(3)) may attach a cover DA Form 4503-R to DA Forms 4503-R received from several product users and forward as a single package to the system proponent.

e. Section E. The system proponent in coordination with the servicing DPA will complete this section.

The following questions should be considered during the final review of the management information requirement.

1. Is the request exempt (data are used in actions that conform to the rules in chap 5)? If yes, cite exemption paragraph in implementing directives.
2. Does the data request require information from other Federal agencies? If information is required, follow procedures in chapter 3.
3. Are data requested from the public (non-Federal agencies, individuals, or corporations)? If so, follow procedures in chapter 4.
4. Is this a request for data internal to the Army, but requiring responses from outside the command HQ, either from subordinate commands or from collateral commands such as between AMC and FORSCOM? If not, use normal staffing procedures within Command HQs to obtain data.
5. Assure that the requirements below have been met before proceeding to question number 6.
 - a. Does the management information requirement fall within the authority of the requester?
 - b. Are the data needed to carry out the assigned function?
 - c. Will actions using this data improve performance, reduce costs, or prevent waste?
 - d. Do requests for personal data comply with the Privacy Act of 1974 (AR 340-21)?
 - e. Is the submission date reasonable?
6. Prepare a DA Form 335-R to justify the need for the data.
7. Establish an answer for the following questions to be discussed with the MICO with jurisdiction (para 1-10).
 - a. Can the data be obtained from any other source?
 - b. Will the data elements conform to AR 18-12 series?
 - c. Will the data be required to be transmitted electrically under condition MINIMIZE?
 - d. Will the data need to continue in the case of full mobilization?
 - e. Can sampling be used to reduce the data burden on the responding agencies?
 - f. Does the draft implementing directive follow the format of paragraph 2-5.1?
 - g. Will the data be automated?
 - h. Is the data source at battalion or company level; if so, a general officer or member of the Senior Executive Service (SES) must approve the initiating agency request.

Figure 2-1. Sample checklist for conducting final review.

Appendix A References

Section I Required Publications

AR 335-11

List of Approved Recurring Management Information Requirements. (Cited in paragraph 1-7 d(16), and the glossary (management information requirement)).

TB 18-103

Army Automation: Software Design and Development. (Cited in paragraph 2-8).

Section II Related Publications

AR 11-28

Economic Analysis and Program Evaluation for Resource Management

AR 18 series

Army Automation

AR 18-12

Catalog of Standard Data Elements and Codes

AR 18-12-1

Catalog of the Standard Data Elements and Codes: General Administration

AR 18-12-2

Catalog of Standard Data Elements and Codes—Financial Administration

AR 18-12-3

Catalog of Standard Data Elements and Codes: Mobilization and Forces

AR 18-12-4

Catalog of Standard Data Elements and Codes: Personnel

AR 18-12-5

Catalog of Standard Data Elements and Codes: Logistics

AR 18-12-6

Catalog of Standard Data Elements and Codes: Health Affairs

AR 18-12-7

Catalog of Standard Data Elements and Codes: Procurement

AR 18-12-10

Catalog of Standard Data Elements and Codes: Security and Intelligence

AR 37-108

General Accounting and Reporting for Finance and Accounting Offices

AR 70-37

Configuration Management

AR 310-25

Dictionary of United States Army Terms (Short Title: AD)

AR 340-18-series

The Army Functional File System (TAFFS)

TB 18-series

Management Information Systems

TB 18-110

Army Automation Configuration Management

TB 18-115

Army Automation: Army Information Processing Standards (AIPS) Program

DOD Directive

Management and Control of Information Requirements

Section III Prescribed Forms

DA Form 335-R

Application for Approval of Management Information Requirement (Cited in para 1-7,d,(8)).

DA Form 1085-R

Management Information Requirement and ADP Product Review Schedule (Cited in para 6-8,a,(1)).

DA Form 1086-R

Periodic Review of Management Information Requirements—Preparing Agency Response and Recommendations (Cited in para 1-7,d,(17),(a)).

DA Form 4502-R

Worksheet for Calculating Cost of Management Information Requirements/Products (Cited in App B, para B-1,b).

DA Form 4503-R

ADP Recurring Products Review (Cited in para 6-15).

DA Form 4503-1-R

ADP Product Review Evaluation (Cited in para 6-16).

DA Form 4560-R

Application for Approval of ADP Product (Cited in para 2-9, b,(1), (a)).

DA Form 5170-R

Proponent Management Information Requirement Review (Cited in para 6-11,a,(3)).

Appendix B Guide to Estimating Costs of Management Information Requirements and ADP Products

B-1. General

a. Cost estimates should reflect an agency's operational characteristics. The guidelines below are to be used to identify resources that will be used in the total cost estimate of a management information requirement.

b. DA Form 4502-R (Worksheet for Calculating Cost of Management Information Requirements/Products) may be used to compute costs for management information requirements and ADP products. DA Form 4502-R will be reproduced locally on 8½- by 11-inch paper. A copy of the form for local reproduction is located at the back of this regulation. Costs will be transferred to DA Forms 335-R and 4560-R for new requests and to DA Forms 1086-R and 4503-R to support reviews. Costs provided for a review action show savings that would result if the data request or product were ended.

B-2. Developmental costs

a. One-time costs for actions needed to change a data request or establish a new one will be included. Costs will be estimated when the management information requirement is proposed or changed. The development cost will be included for—

(1) Specification to—

(a) Determine the need for data.

(b) Identify the objectives.

- (c) Appraise impact on planned and existing systems.
- (d) Determine benefits to be derived.
- (2) Analysis to—
 - (a) Decide what information is needed.
 - (b) Determine what data are required to obtain needed information.
 - (c) Certify a valid need.
 - (d) Select data sources and media.
 - (e) Develop products.
- (3) System design to—
 - (a) Decide how to process the data.
 - (b) Construct input and output forms.
 - (c) Decide on data file requirements and formats.
 - (d) Complete system documentation.
 - (e) Get approval of the management information requirement.
- (4) System installation—
 - (a) Write directives and instructions.
 - (b) Program support software for ADP systems.
 - (c) Acquire and install new equipment, as required.
 - (d) Test system procedures and products.
 - (e) Train users.
- b. Include developmental costs on DA Form 335-R and DA Form 4560-R.

B-3. Operational costs

- On-going costs to prepare and transmit products will be included. Operational costs will be estimated when the management information requirement is proposed or changed and updated periodically after implementation. Actual costs for periodic reviews will be used. Operational costs cover the expense to—
- a. Collect data. Include cost to—
 - (1) Record source data.
 - (2) Control the accuracy of source data.
 - (3) Store for future use.
 - b. Process data. Include cost to—
 - (1) Receive, control, and edit source documents at the processing unit.
 - (2) Summarize source data and convert it to format for processing.
 - (3) Update the data base file.
 - (4) Extract and compile data for desired transmission media or format.
 - (5) Develop narrative and graphic outputs.
 - (6) Produce final product(s) for transmission.
 - c. Transmit product (include the cost to reproduce and distribute completed information products).

B-4. Resource costs

- The cost of resources used in the activities listed in paragraph B-2 and B-3 will be estimated. These costs include—
- a. *Direct personnel.* Salary costs and direct benefits such as retirement, insurance, and sick and annual leave prorated to the man-hours associated with the information requirement or product will be included.
 - (1) Estimate civilian salaries using average grade level, step 3.
 - (2) Calculated military salary costs using AR 37-108, chapter 17, and AR 11-28.
 - b. *ADP.* ADP equipment and software costs will be prorated. Rental and maintenance will be included. The DPA uses a cost per hour rate. The cost of an ADP product can be computed by multiplying the hour rate cost by the hours needed to produce the product.
 - c. *Direct material.* The cost of supplies used to produce data will be included.
 - d. *Other direct cost.* Other direct costs such as non-ADP equipment will be included.
 - e. *Indirect or overhead.* Estimated cost of facilities, supervision, and administrative support will be included. In those cases in which

such costs are not obtainable, a factor of 25 percent of the direct costs will be added.

B-5. Costs to exclude

- a. *Developmental costs.* Costs incurred in initiating a management information requirement or ADP product should not be included in estimates made for reviews on DA Form 1086-R and DA Form 4503-R.
- b. *Unrelated operational costs.* These costs include operations that would continue if the request or ADP product were not produced. For example, costs related to preparing the payroll as costs for a by-product of the payroll system will not be included.
- c. *Supporting data collection costs.* If an information product uses data from another data collection, the cost of the supporting data collection as part of the cost of the basic product will not be included.

B-6. Cost ranges

- In making cost estimates, it may be necessary to use general cost ranges. Enter these ranges in the correct block(s) of DA Form 335-R, DA Form 4560-R, DA Form 1086-R, or DA Form 4503-R:
- a. Less than \$1,000.
 - b. \$1,000 to \$5,000.
 - c. \$5,000 to \$10,000.
 - d. \$10,000 to \$50,000.
 - e. \$50,000 to \$100,000.
 - f. \$100,000 to \$250,000.
 - g. \$250,000 to \$500,000.
 - h. \$500,000 to \$750,000.
 - i. \$750,000 to \$1,000,000.
- If over \$1,000,000 round to the nearest .25 million dollars.

Appendix C Requirement Control Symbol (RCS) Assignment

C-1. Approval authority

- Approval by the controlling MICO with jurisdiction (see para 1-10) is required for each—
- a. New and revised controllable management information requirement.
 - b. New exempt management information requirement.
 - c. Rescission or reactivation of a controlled request.
 - d. Local implementation of data requests initiated by external agencies.

C-2. Assignment of control symbols

- a. *Initial assignment.* A new RCS will be assigned to each separate, controllable management information requirement. Data collections required by a complex information proposal (i.e., one involving various subjects, data forms, periods covered, submission dates, or processing instructions) will be treated separately and assigned separate RCSs.
- b. *Revision.* A revision suffix (para C-5) will be assigned to the previously assigned RCS for a major revision or expansion of a controlled management information requirement. Major changes include the addition of new data elements, an increase in frequency, or adding respondent agencies which results in an increased workload of over 10 percent. For minor revisions and deletions of data elements, continue to use the original RCS without a revision suffix. Assign a new RCS to a consolidation of management information requirements that were previously assigned separate RCSs unless the characteristics of one request are strongly preserved. In that case, assign a revision suffix to its symbol.
- c. *Rescission, reuse, or transfer of symbols.* Except as indicated in *d* below, once an RCS has been assigned, do not transfer it to another data request. Do not use an RCS after rescission.
- d. *Supporting management information requirements.* The same RCS will be assigned to supporting requests that collect data for

existing controllable data requests. Supporting information will be limited to the content and frequency of the basic data request.

C-3. Other agency RCSs

RCSs assigned by other agencies and used by the Army under chapters 3 and 4 may be composed differently from Army RCSs. The MICO will answer questions about these symbols.

C-4. Use of other agency control symbols

a. Controlled data request prepared by an Army agency for a non-Army agency will cite the symbol, if any, assigned by that non-Army agency.

b. Approvals are granted by ADS (Comptroller) for Defense data requests levied on the Military Departments, and by GSA for other Federal agency requests. However, Army implementation is not authorized before coordination with the HQDA MICO to permit a thorough check of existing Army data requests that could partly or totally fulfill the requirement. Copies of all prescribing directives will be given the HQDA MICO to assist in this determination.

c. Compliance with this regulation is required when responding to non-Army management information requirements.

C-5. Composition of RCSs for management information requirements initiated by Army

An example and explanation of the elements of an RCS is given below:

AG-(OT)-729(R3)(a)

Major changes. Assign revision suffix to major changes. (Recurring data requests only.)

AG-(OT)-729(R3)(b)

Number. Use one sequence of numbers for both one-time and recurring data requests in each initiating agency.

AG-(OT)-729(R3)(c)

One-time requests only. Use the letters "OT."

AG-(OT)-729(R3)(d)

Agency code. Use an acronym or alpha code that denotes the initiating agency. This code is used for both recurring and one-time data collections (e.g., ; MED for OTSG; AG for Adjutant General). Do not duplicate codes used by other agencies.

Glossary

Section I Abbreviations

AAA

Army Audit Agency

ACSIM

Assistant Chief of Staff for Information Management

ADP

automatic data processing

AG

Adjutant General

ARA

assigned responsible agency

ARCOM

US Army Reserve Command

ARSTAF

Army Staff

COA

Comptroller of the Army

COM

computer output microfilm

CPO

civilian personnel office

DA

Department of the Army

AMC

US Army Materiel Command

DCA

Defense Communications Agency

DCSLOG

Deputy Chief of Staff for Logistics

DCSPER

Deputy Chief of Staff for Personnel

DE

data element

DIA

Defense Intelligence Agency

DOD

Department of Defense

DPA

data processing activity

ECP

engineering change proposal

F&AO

finance and accounting office

FORSCOM

US Army Forces Command

GAO

General Accounting Office

GOCOM

US Army Reserve General Office Command

GSA

General Services Administration

HQ

headquarters

ICB

information collection budget

IDE

interim data element

IG

Inspector General

IRCN

interagency report control number

JCS

Joint Chiefs of Staff

MACOM

major Army command

MICO

management information control officer

MICLO

management information control liaison officer

MOB

mobilization

NICP

national inventory control point

NSA

National Security Agency

OMB

Office of Management and Budget

PCN

product control number

RCS

requirement control symbol

SDE

standard data element

SECDEF

Secretary of Defense

SES

Senior Executive Service

TAFFS

The Army Functional Files System

TAG

The Adjutant General

TRADOC

US Army Training and Doctrine Command

USAREUR

US Army, Europe

USARJ

US Army, Japan

Section II Terms

Agency

An organizational element.

a. Directing agency. The agency that provides the basic directive, oral or written, for which management information requirement is created. This agency may also be the initiating agency.

b. Initiating agency (functional proponent). The agency that creates the management information requirement and is responsible for the information system.

c. Monitoring agency. The Army agency assigned responsibility for the Army action on a management information requirement from a non-Army agency. If the monitoring agency sets up a supporting request, it becomes the initiating agency for that part of the data collection.

d. Preparing agency. An agency listed by the management information requirement directive to compile, process, reproduce, convert (for example, card to tape), and submit all or part of the required data or any summary or extract of it.

e. Using agency. An agency responsible for receiving and taking action (other than to review, approve, or forward) on data submitted in response to the management information requirement. The initiating agency is usually, but not always, a using agency. At an intermediate state in the flow of the data, an agency may be both a preparing agency and a using agency.

f. Data processing activity (DPA). (As explained in AR 18-7, para 1-3).

Data element

A basic unit of identifiable and definable information. A data element occupies the space provided by fields in a record or blocks on a form. It has an identifying name and value(s) for expressing a specific fact. See AR 18-12 and TB 18-115 for policies and procedures for usage, standardization, and approval.

Directive

Management information requirement or implementing directive. A directive that—

a. Creates or changes a management information requirement.

b. States who will submit the data.

c. Provides procedures, definitions, forms, and information sources.

Extensive compilation of research over and above normal operations

a. This phrase provides a basis for appeal by the preparer of what it considers to be “unreasonable” information requirements.

Whether or not a request is “unreasonable” is a matter of judgment. It involves consideration of the mission and the resources of the preparer and not simply the absolute workload. The factors below bear on whether a request is unreasonable—

(1) Preparation would require extensive overtime or keep other important work from being completed on time.

(2) The existing operating records and information systems do not provide the data required or such data cannot be readily produced from the system; for example, retroactive data requests that would need extensive research of records or files.

(3) The purpose of the request might be served by data already available to the requester.

b. An exemption that certifies the request does not require “extensive compilation or research over and above normal operations” permits the flow of data among agencies whose staff and operating relationships require a day-to-day exchange of spot data. Although in the main, these exemptions cover nonrecurring data exchanges that arise out of oral discussions, they are not limited to such exchanges and include written requests for one-time data requests.

Management information

Information required in planning, organizing, directing, coordinating, and controlling an organization and its assigned mission tasks.

Management information control office (MICO)

A person assigned authority to—

a. Approve, disapprove, or revise proposed management information requirements within an agency, based on this regulation.

b. Assign control symbols to needed management information requirements within an agency.

c. Review controlled management information requirements and data products as outlined in this regulation.

d. Provide the jurisdictional control of management information requirements and data products in paragraph 1–10.

Management information control liaison officer (MICLO)

A person assigned authority by a principal staff agency of a command or activity to—

a. Coordinate information control matters within the staff agency.

b. Assist in review of ADP products for which the agency is the system proponent.

c. Provide technical assistance to the MICO as needed in the control of management information.

Management information product

Products generated in response to an approved requirement for information.

a. The information product may be in narrative, tabular, or graphic form. A product can be transmitted in different ways. It may

be an oral statement, a manual report, or an automatic data processing (ADP) product.

b. An ADP product is one which leaves the physical confines of the ADP operations element and is sent to another element either inside or outside the DPA unit.

Management information requirement

A requirement for management information to be collected, processed, and transmitted on a periodic, as required, or one-time basis. A request may be transmitted orally or in writing and may require several information products, data inputs and data outputs, processed either manually or by ADPE. An approved controlled management information requirement is assigned as RCS following procedures in appendix C.

a. Control Status.

(1) *Controlled management information requirement.* An approved request that is assigned an RCS under this AR.

(2) *Exempt management information requirement.* Requests listed in chapter 5 do not require an RCS.

(3) *Unauthorized management information requirement.* A nonexempt request that has not been assigned an RCS before the requiring directive is published.

b. Frequency.

(1) *Recurring management information requirement.* A request that is levied for submission at prescribed times (e.g., daily, weekly, monthly, annually) or upon each occurrence of an event or situation (e.g., occurrence of an accident). Standard frequencies are specified in the DOD Standard “Occurrence Frequency” in AR 18–12–1 and AR 335–11.

(2) *One-time management information requirement.* A request levied for one-time only submission.

c. Source.

(1) *DA management information requirements.* Data required, collected and processed wholly within DA.

(a) Internal data requests. Request by an Army agency of agencies under its command.

(b) External data requests. Requests by Army agencies outside the command of the initiating agency.

(2) *DOD agency management information requirements.* A request levied on the Army by DOD components (i.e., Office, Secretary of Defense, Department of the Air Force or Navy; US Marine Corps; Joint Chiefs of Staff (JCS); Defense Logistics Agency (DLA); Defense Communications Agency (DCA); Defense Intelligence Agency (DIA); or National Security Agency (NSA)).

(3) *Interagency management information requirement.* Any request that involves providing data to one or more Federal agencies

from one or more other Federal agencies, with the initiating agency exceptions below:

(*a*) Legislative Branch.

(*b*) Judicial Branch.

(*c*) Presidential requirements.

(*d*) OMB budgetary requirement.

(*e*) Independent regulatory agencies excepted by PL 96–511 or OMB.

(4) *Non-Federal agency management information requirements.* A requirement from a State or local government, a private organization, or an individual.

(5) *Public management information requirement.* A Federal agency request from 10 or more non-Federal governments, businesses, institutions, groups or individuals, as further explained in chapter 4.

Management Information System

An assemblage of resources and procedures organized to collect, process, and issue data. These data can then be used to decide how to plan, organize, staff, direct, coordinate, and control the use of resources to accomplish missions and tasks.

Management information requirement workload

The total workload (and costs) at all levels that would end if the request were discontinued. Cost estimates for management information requirement workloads will be computed using guidance in appendix B.

Product control number (PCN)

A symbol assigned to identify each ADP final product by the functional proponent or the DPA. See TB 18–103 for minimal requirements for PCN compositions.

Requirement control symbol (RCS)

A symbol assigned to a management information requirement by the MICO with jurisdiction to show it has been approved under this AR. (See app C for the composition of RCSs.)

System control products

ADP products required to monitor and maintain system integrity. These include products produced by operating systems, executive or supervisor programs; compilers, assemblers, or translators; input/output control systems; generalized utility routines; and hardware monitors.

Section III

Special Abbreviations and Terms

There are no special terms.

RESERVED

APPLICATION FOR APPROVAL OF MANAGEMENT INFORMATION REQUIREMENT

For use of this form, see AR 335-15; the proponent agency is OACSIM.

1. THRU (Include Zip Code)		2. TO (Include Zip Code)		3. FROM (Include Zip Code)	
4. SUBJECT (Proposed title of Information Requirement)				5. DATE (YYMMDD)	
				6. ACTION OFFICER (Name and telephone number)	
7. PRESCRIBING DIRECTIVE (AR, letter, message, etc.)					
8. TYPE OF REQUEST <input type="checkbox"/> NEW <input type="checkbox"/> EXTENSION <input type="checkbox"/> REVISED		9. FREQUENCY OF SUBMISSION		10. ESTIMATED DURATION OF REQUIREMENT	11. SUBMISSION DATE (YYMMDD)
12. FORM NUMBER		13. MINIMIZE	14. MOBILIZATION STATUS		15. SECURITY CLASSIFICATION
16. JUSTIFICATION OF NEED FOR INFORMATION REQUIREMENT					
a. STATE NEED FOR REQUESTED DATA					
b. ACTION TO BE TAKEN ON DATA (Could this be delegated to preparing agencies in Item 24)					

**PERIODIC REVIEW OF MANAGEMENT INFORMATION
REQUIREMENTS -
PREPARING AGENCY RESPONSE AND RECOMMENDATIONS**

For use of this form, see AR 335-15; the proponent agency is OACSIM.

*REQUIREMENT CONTROL
SYMBOL CSIM-15*

The purpose of this form is to identify defects of management information requirements, to get constructive suggestions for improving them, and to estimate requirement workload and costs. Comments and recommendations can be of great value in this effort.

1. SCHEDULED REVIEW (YYMM)

2. RCS AND TITLE

3. THRU (Forwarding Command MICO)
(Include Zip Code)

4. TO (MICO with jurisdiction) (Include Zip Code)

5. FROM (Preparing agency) (Include Zip Code)

SECTION A - ESTIMATED WORKLOAD AND COST

6. TYPE OF PREPARING OR CONSOLIDATING ORGANIZATION OR UNIT (Specify organizational level)	NUMBER OF UNITS OF EACH TYPE	SUB-MISSIONS PER YEAR	MAN-HOURS PER YEAR	COST PER YEAR					
				PERSONNEL	ADP	MATERIAL	OTHER	OVERHEAD	
				a.	b.	c.	d.	e.	f.

NOTE: Include only those manhours and costs that would be eliminated if data request were rescinded.

J. TOTAL COST (e + f + g + h + i)

SECTION B - PROBLEMS, COMMENTS, RECOMMENDATIONS

7. IDENTIFY INCOMPLETE, UNCLEAR, COMPLEX, AWKWARD OR DIFFICULT PROCEDURES, FORMS, INSTRUCTIONS OR DEFINITIONS; EXCESSIVE WORKLOAD, PEAKING OF WORK OR OVERTIME (Use additional sheets if required)

SECTION C - DUPLICATE DATA REQUESTS

8. IDENTIFY BY RCS ANY OTHER DATA REQUESTS THAT WHOLLY OR PARTIALLY DUPLICATE OR OVERLAP THIS REQUIREMENT AND SPECIFY ITEMS OF DUPLICATION

9. NAME AND SIGNATURE OF INDIVIDUAL COMPLETING SECTIONS A THROUGH C

b. TITLE

c. TELEPHONE NUMBER

d. DATE (YYMMDD)

SECTION D – FORWARDING COMMAND MICO COMMENTS AND RECOMMENDATIONS

9a. THIS IS A CONSOLIDATED MACOM REVIEW OF PREPARING AGENCY WORKLOAD AND COSTS

YES NO

b. COMMENTS AND RECOMMENDATIONS.

c. NAME AND SIGNATURE OF COMMAND MICO

d. TITLE

e. TELEPHONE
NUMBER

f. DATE
(YYMMDD)

SECTION E – MICO WITH JURISDICTION COMMENTS

10. SIGNIFICANT RESULTS AND COMMENTS PROVIDED TO THE REVIEWING AGENCY

a. NAME AND SIGNATURE OF MICO

b. TITLE

c. TELEPHONE
NUMBER

d. DATE
(YYMMDD)

WORKSHEET FOR CALCULATING COST OF MANAGEMENT INFORMATION REQUIREMENTS/PRODUCTS

For use of this form, see AR 335-15; the proponent agency is OASCIM.

1. TITLE AND REQUIREMENT CONTROL SYMBOL (RCS) OR PRODUCT CONTROL NUMBER (PCN)	2. ESTIMATE PREPARED BY	3. DATE (YYMMDD)			
SECTION A -- ESTIMATED DEVELOPMENTAL COSTS					
FUNCTION/ACTIVITY a.	DIRECT COSTS OF RESOURCES			INDIRECT COSTS (overhead) f.	TOTAL (b+c+d+e+f) g.
	PERSONNEL b.	ADP c.	MATERIAL d.		
4. SPECIFICATION					
5. ANALYSIS					
6. DESIGN					
7. INSTALLATION					
8. OTHER					
9. TOTAL DEVELOPMENTAL COST					
SECTION B -- ESTIMATED OPERATIONAL COSTS					
10. DATA COLLECTION					
11. DATA PROCESSING					
12. DATA/RECORDS MAINTENANCE					
13. PRODUCT TRANSMISSION					
14. TOTAL OPERATIONAL COST (Annually)					
15. REMARKS					

ADP RECURRING PRODUCTS REVIEW

For use of this form, see AR 335-15; the proponent agency is OACSIM.

REQUIREMENT CONTROL
SYMBOL CSIM-17

1. THRU (User agency) (Include Zip Code)	2. THRU (Responsible user office MICO/MICLO) (Include Zip Code)
3. TO: (System proponent) (Include Zip Code)	4. FROM (Servicing DPA) (Include Zip Code)

SECTION A – PRODUCT IDENTIFICATION (To be completed by DPA)

5. SYSTEM	6. RCS (if any)	7. FREQUENCY	8. PCN
9. PRODUCT TITLE			
10. PRESCRIBING DIRECTIVES			
11. MEDIA (Indicate number of frames/copies/pages)			12. DISTRIBUTION
a. CARD	f. MAGNETIC TAPE	RECIPIENT	NO. OF COPIES
b. COM	g. ROLL 16mm MICROFILM		
c. MAGNETIC DISC	h. MICROFICHE		
d. DISKETTE	i. PAPER TAPE		
e. HARDCOPY (number of pages, single copy)	j. OTHER (Specify)		

SECTION B – COST ESTIMATES (To be completed by DPA)

13. ESTIMATED PRODUCT WORKLOAD AND COST (Include only those manhours and costs that would be eliminated if data request were rescinded)			
a. MANHOURS/YEAR	b. COST/HOUR	c. PERSONNEL COST/YEAR (a x b)	
d. ADP HOURS/YEAR	e. COST/HOUR	f. ADP COST/YEAR (d x e)	
g. MATERIAL COST/YEAR	h. OTHER COSTS (Specify)	i. OVERHEAD COST/YEAR	j. TOTAL COST/YEAR (c+f+g+h+i)
14. COMMENTS			
15. POINT OF CONTACT			
a. NAME AND SIGNATURE	b. TITLE	c. TELEPHONE NUMBER	d. DATE (YYMMDD)

SECTION C – PRODUCT ANALYSIS (To be completed by user agency)

16. USER ANALYSIS (You may check more than one box, however, each box checked must be explained (i.e. if a. is checked, explain in Item 17; if b. is checked, explain in Item 18; all others, explain in Item 19))
<input type="checkbox"/> a. PRODUCT IS ESSENTIAL AND SHOULD BE RETAINED IN PRESENT FORMAT <input type="checkbox"/> b. PRODUCT IS NOT ESSENTIAL AND SHOULD BE CANCELLED <input type="checkbox"/> c. PRODUCT CONTAINS EXCESSIVE OR DUPLICATIVE DATA AND SHOULD BE MODIFIED <input type="checkbox"/> d. PRODUCT SHOULD BE CONSOLIDATED WITH PCN _____ <input type="checkbox"/> e. PRODUCT FREQUENCY SHOULD BE CHANGED <input type="checkbox"/> f. CURRENT PRODUCT IS SUITABLE FOR MICROFORM MODE <input type="checkbox"/> g. PRODUCT COPIES SHOULD BE CHANGED <input type="checkbox"/> h. OTHER (Specify)

17. FUNCTIONS OF THE PRODUCT *(Specify use, e.g., management decision making, answering inquiries, validating other data, etc.)*

18. IMPACT IF CANCELLED

19. EXPLANATION OF PROPOSED MODIFICATION

20. POINT OF CONTACT *(Name and signature)*

a. TITLE

b. TELEPHONE
NUMBER

c. DATE
(YYMMDD)

SECTION D – RECOMMENDATIONS *(To be completed by system proponent)*

21. ACTION RECOMMENDED

22. ACTION OFFICER *(Name and signature)*

a. TITLE

b. TELEPHONE
NUMBER

c. DATE
(YYMMDD)

SECTION E – ACTION *(To be completed by system proponent and DPA)*

23. ACTION TAKEN

24. ACTION OFFICER *(Name and signature)*

a. TITLE

b. TELEPHONE
NUMBER

c. DATE
(YYMMDD)

ADP PRODUCT REVIEW EVALUATION

For use of this form, see AR 335-15; the proponent agency is OACSIM.

**REQUIREMENT CONTROL
SYMBOL CSIM-18****1. THRU (Agency MICO)**
*(Include Zip Code)***2. TO (MICO with jurisdiction)**
*(Include Zip Code)***3. FROM (Include Zip Code)****4. ADP SYSTEM NAME****5. REVIEW PERIOD (Quarter and FY)****6. TOTAL NUMBER OF RECURRING ADP PRODUCTS REVIEWED****7. TOTAL COST OF RECURRING PRODUCTS (in dollars)****8. NUMBER OF PRODUCTS ELIMINATED****9. COST SAVINGS THAT RESULTED****10. NUMBER OF PRODUCTS REVISED****11. COST SAVINGS RESULTING FROM REVISIONS****12. TOTAL SYSTEM COST SAVINGS FOR REVIEW QUARTER****13. REMARKS****14. ACTION OFFICER (Name and signature)****a. TITLE****b. TELEPHONE
NUMBER****c. DATE
(YYMMDD)**

APPLICATION FOR APPROVAL OF ADP PRODUCT

For use of this form, see AR 335-15; the proponent agency is OACSIM.

1. DATE (YYMMDD)

2. THRU (MICO) (Include Zip Code)

3. TO (DPA) (Include Zip Code)

4. FROM (Include Zip Code)

5. SUBJECT (Title of product)

6. ACTION OFFICER (Name and telephone number)

7. TYPE

 NEW CHANGE/REVISION

8. DATE REQUIRED (YYMMDD)

9. SECURITY CLASSIFICATION

10. DURATION/CUTOFF DATE (YYMMDD)

11. FREQUENCY

12. PRODUCT USE AND JUSTIFICATION

13. DESCRIPTION, FREQUENCY, VOLUME, AND SOURCE OF INPUT DATA

14. DESCRIPTION OF OUTPUT PRODUCT (Include proposed media)

15. PRODUCTS TO BE REVISED/REPLACED/ELIMINATED BY THIS PRODUCT

16. DISTRIBUTION (Include number of copies to each)

17. ESTIMATED COST (See App. B, AR 335-15)

ACTIVITY a.	PERSONNEL b.	ADP c.	MATERIAL d.	OTHER e.	OVERHEAD f.	TOTAL g.
DEVELOPMENTAL						
OPERATIONAL						
TOTAL						

18. COMPLETION DATE (YYMMDD)

19. RECOMMENDED PRIORITY

20. DPA POC (Name and telephone No.)

21. REMARKS

22.

APPROVED DISAPPROVED

(PCN Assigned)

23. APPROVAL AUTHORITY (Name and signature)

**PROPONENT MANAGEMENT INFORMATION REQUIREMENT
REVIEW**

For use of this form, see AR 335-15; the proponent agency is OACSIM.

*REQUIREMENT CONTROL
SYMBOL CSIM-16*

1. THRU (MICLO) (Include ZIP Code)

2. TO (MICO with jurisdiction)
(Include Zip Code)

3. FROM (Proponent office)
(Include Zip Code)

SECTION A – REQUIREMENT IDENTIFICATION

4. MANAGEMENT INFORMATION REQUIREMENT TITLE AND RCS

5. PRESCRIBING DIRECTIVES AND FORMS (If different than DA Pam 335-11 and supplements)

a. DIRECTIVES

b. FORMS

6a. REQUIREMENT SCHEDULED FOR RESCISSION YES (Indicate date
_____ do not complete remainder of this form) NO

b. REQUIREMENT SCHEDULED FOR REVISION
 YES (explain in item 11) NO

SECTION B – COST AND WORKLOAD ESTIMATES

PREPARING AGENCY ESTIMATES OF ANNUAL WORKLOAD AND COSTS FOR THIS REQUIREMENT ARE SUMMARIZED BELOW ON LINE 7. IF YOUR CURRENT ESTIMATES VARY OVER 10 PERCENT FROM LINE 7, INDICATE THAT ESTIMATE ON LINE 8.

a. ANNUAL SUBMISSIONS	b. ANNUAL MAN-HOURS	ANNUAL COSTS					
		c. PERSONNEL	d. ADP	e. MATERIAL	f. OTHER	g. OVERHEAD	h. TOTAL
7.							
8.							

9. DO THE BENEFITS OF THIS REQUIREMENT EXCEED THE COST BURDEN ON LINE 7 OR 8.

YES NO BENEFITS CANNOT BE COST QUANTIFIED, BUT DATA REMAIN ESSENTIAL AFTER CONSIDERATION OF COSTS

SECTION C – COMMENTS/REMARKS

10. COMMENTS

COMMENTS 1 THROUGH _____ ARE ATTACHED FOR YOUR REVIEW. FOR EACH ATTACHED COMMENT INDICATE EITHER:

- a. COMMENT NO. _____ IS VALID AND CHANGES WILL BE MADE TO REQUIREMENT BEGINNING _____, OR
- b. COMMENT NO. _____ IS NOT VALID BECAUSE: (Use reverse or additional sheets as required).

11. REMARKS (Use reverse or additional sheets as required)

12. PROPONENT ACTION OFFICER (Name and signature)

a. OFFICE SYMBOL

b. TELEPHONE NUMBER

c. DATE (YYMMDD)

Unclassified

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