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SECRETARY OF THE AIR FORCE**

AIR FORCE INSTRUCTION 33-324



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Communications and Information

**THE AIR FORCE INFORMATION
COLLECTIONS AND REPORTS
MANAGEMENT PROGRAM**

COMPLIANCE WITH THIS PUBLICATION IS MANDATORY

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This Air Force Instruction (AFI) implements Air Force Policy Directive (AFPD) 33-3, *Air Force Information Management*; Department of Defense (DoD) Instruction (DoDI) 8910.01, *Information Collection and Reporting*, and DoD 8910.1-M, *DoD Procedures for Management of Information Requirements*. It establishes procedures and assigns responsibilities for managing and controlling information collections and reporting requirements according to Public Law 104-13, the *Paperwork Reduction Act of 1995*. This instruction also gives guidelines and procedures for licensing internal information collections and reports, requesting information from the public, and reporting projected public information collections to Congress (see Title 5, Code of Federal Regulations [CFR] Part 1320, *Controlling Paperwork Burdens on the Public*, current edition). *The Paperwork Reduction Act of 1995* and AFI 33-360, *Publications and Forms Management*, affects this publication. Send recommended changes or comments to Secretary of the Air Force, Cyberspace Capabilities and Compliance (SAF/CIO A6X), 1800 Air Force Pentagon, Washington DC 20330-1800, through appropriate channels, using Air Force (AF) Form 847, *Recommendation for Change of Publication*. The authorities to waive wing/unit level requirements in this publication are identified with a Tier (“T-0, T-1, T-2, T-3”) number following the compliance statement. See AFI 33-360, *Publications and Forms Management*, Table 1.1 for a description of the authorities associated with the Tier numbers. Submit requests for waivers through the chain of command to the appropriate Tier waiver approval authority, or alternately, to the Publication OPR for non-tiered compliance items. Ensure that all records created as a result of processes prescribed in this publication are maintained IAW Air Force Manual (AFMAN) 33-363, *Management of Records*, and disposed of IAW the Air Force

Records Disposition Schedule (RDS) in the Air Force Records Information Management System (AFRIMS).

SUMMARY OF CHANGES

This interim change revises AFI 33-324 by (1) transferring responsibility, changing tiering, AFI33-360, Publications and Forms Management, and (2) updating office symbols and email addresses to reflect current organizations. A margin bar (|) indicates newly revised material.

Chapter 1

PURPOSE, SCOPE, AND RESPONSIBILITIES

1.1. Purpose. The Information Collections and Reports Management Program:

- 1.1.1. Reduces costly, ineffective, and redundant information collections and reporting requirements.
- 1.1.2. Establishes procedures for information collecting and reporting of internal and public requirements.
- 1.1.3. Implements portions of Chapter 35 of Public Law 104-13, *The Paperwork Reduction Act of 1995* to:
 - 1.1.3.1. Minimize the Federal paperwork burden on the public, small businesses, and state and local governments.
 - 1.1.3.2. Minimize the Federal Government's costs for collecting, maintaining, using, and disseminating information.
 - 1.1.3.3. Maximize the usefulness of information collected, maintained, and disseminated by the Federal Government.
 - 1.1.3.4. Coordinate, integrate, and where practical, create uniform Federal information policies and practices.
 - 1.1.3.5. Make sufficient information available to all commanders and management personnel to achieve mission effectiveness.

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

- 1.2.1. Managers must control and minimize the burden associated with the collection and reporting of information. Apply the guidelines in this instruction when: **(T-1)**
 - 1.2.1.1. Establishing and maintaining policies, plans, and objectives.
 - 1.2.1.2. Reviewing program proposals.
 - 1.2.1.3. Allocating resources.
 - 1.2.1.4. Reviewing actual performance against program goals.
 - 1.2.1.5. Satisfying statutory, congressional, and other imposed interagency information requirements.
 - 1.2.1.6. Collecting information from the public (public reporting).
 - 1.2.1.7. Collecting information from within the DoD.
 - 1.2.1.8. Collecting information from other Federal agencies.

1.3. Functional Responsibilities. Headquarters Air Force (HAF), major commands (MAJCOM), field operating agencies (FOA), direct reporting units (DRU), and all activities generating an information requirement have responsibilities in the Information Collections and Reports Management Program.

1.3.1. The Chief of Information Dominance and Chief Information Officer (SAF/CIO A6) oversees the Information Collections and Reports Management Program through the Air Force Information Management Control Officer (IMCO). The IMCO:

1.3.1.1. Manages the Air Force Information Collections and Reports Management Program.

1.3.1.2. Serves as technical advisor to the Air Force.

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

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

1.3.1.5. Submits the following to DoD:

1.3.1.5.1. Requests for approval of internal and public collections.

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

1.3.1.5.3. Information Collection Budget (ICB).

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

1.3.2. Commanders and Directors will implement this instruction. HAF, MAJCOM, Wing level or below, DRU, and FOA appoints an Information Collections and Reports Manager and sends an appointment letter to usaf.pentagon.saf-cio-a6.mbx.af-info-collection@mail.mil to include the name, functional address symbol, e-mail address, and telephone number of the newly assigned Information Collections and Reports Manager. (T-1)

1.3.3. All Information Collections and Reports Managers:

1.3.3.1. Give personnel guidelines and training.

1.3.3.2. Conduct periodic program reviews.

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

1.3.3.4. Review all requests for internal and public collections.

1.3.3.5. Forward internal and public collections to usaf.pentagon.saf-cio-a6.mbx.af-info-collection@mail.mil.

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

1.3.3.7. Submit the annual ICB to SAF/CIO A6XA through their chain-of-command.

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

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

1.3.4.2. Licensed in accordance with this program.

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

1.4.1. Only respond to exempt or licensed information requirements.

1.4.2. Notify the agency and Information Collections and Reports Manager making a request for a reporting requirement without an approved control number that they need either a RCS and/or an Office of Management and Budget (OMB) Control Number.

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

Chapter 2

DOD INTERNAL INFORMATION COLLECTION

2.1. DoD Internal Information Collections. This chapter provides the necessary information for the Air Force to develop, review, revise, obtain approval and cancel their DoD internal information collections. It also specifies the responsibilities of the Air Force for responding to internal collections imposed on the DoD by other Federal Agencies.

2.1.1. A DoD internal information collection is one in which the Air Force needs to collect information from one or more DoD Components. Information is collected from current DoD employees (military and civilian).

2.1.2. DoD internal information collections shall be approved by the DoD Internal Information Collections Officer (IICO) in the Washington Headquarters Services/Executive Services Directorate (WHS/ESD) Information Management Division. If approved, the collection will be assigned a report control symbol (RCS) and an expiration date.

2.2. Responding to an Information Collection. The Air Force when responding to information collections from other DoD Components and/or Federal agencies shall:

2.2.1. Reply to written requests for cost estimates concerning their existing or proposed information collections.

2.2.2. Respond to approved information collections.

2.2.3. Refrain from responding to unapproved information collections and inform the Air Force IMCO or DoD IICO of the solicitation.

2.3. Reports or Information Collections That Require a Control Symbol. Status, summary, or statistical information that is compiled and transmitted from one organizational component to another for management purposes requires licensing with a RCS. According to DoDI 8910.01, "Information collection requirements that have not been properly approved and symbolized shall not be honored."

2.3.1. Sometimes an office of primary responsibility (OPR) needs to query a reporting activity for additional information contained in an already established RCS report. These requests do not constitute a new reporting requirement.

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

2.3.3. Regardless of how the information is submitted, whether by paper report, electronically, or through directed insertion of data into an electronically accessible database, an RCS is still required.

2.4. Information Collections and Reports Managers' Procedures for New and Revised Report Control Symbols Reports. For each new or revised information requirement, Information Collections and Reports Managers shall refer to DoD 8910.1-M for specific procedures on DoD internal information collections. (T-0)

2.5. Licensing Reporting Requirements in Automated Systems.

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

2.5.2. The Information Collections and Reports Manager or the Air Force IMCO will work with the OPR to determine what data submissions require a control symbol. **NOTE:** All output products that collect information for a licensed report must display the appropriate control symbol. (T-1)

2.6. Emergency Collections. On an individual case-by-case basis, special one-time high priority, or time-urgent collections may be approved and symbolized without being subjected to an in-depth review and analysis, provided a statement of urgency is included with the DD Form 2936, *Request for Approval of DoD Internal Information Collection*, and signed at an appropriate level commensurate with the estimated cost of providing the information. An expiration date of short duration will be assigned until the additional required documentation is completed and submitted to the DoD IICO.

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

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

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

2.7.3. Submit a copy of the written notification and a draft of the revised publication or interim change to the component Information Collections and Reports Manager or the Air Force IMCO.

2.7.4. Coordinate with servicing records manager to effect disposition of any accumulated records and coordinate on requirement to change any report specific records disposition.

Chapter 3

PUBLIC INFORMATION COLLECTION

3.1. Publication Information Collections. This chapter provides guidance on *The Paperwork Reduction Act* and seeking OMB approval to collect information from the public. The Air Force shall not collect information from the public without first obtaining OMB approval. A public information collection is the collection of information from ten or more members of the public on an annual basis.

3.1.1.

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

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

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

3.4.1. The Federal Election Commission.

3.4.2. All Congressional and Judicial Agencies.

3.4.3. The General Accounting Office (GAO).

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

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

3.5. The Annual Information Collection Budget.

3.5.1. MAJCOM, DRU, and FOA Information Collections and Reports Managers shall respond to the annual data call for projected ICBs. **(T-1)**

3.5.2. Submit responses to SAF/CIO A6XA, ATTN: Air Force IMCO, 1800 AF Pentagon, Washington DC, 20330-1800 or usaf.pentagon.saf-cio-a6.mbx.af-info-collection@mail.mil.

3.6. New and Revised Public Information Collections. The Information Collections and Reports Managers shall ensure that organizations requesting information from the public submit new, revised, and extended requests for OMB approval. **(T-1)**

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

3.8. Office of Management and Budget Approval Application Procedures. Information Collections and Reports Managers shall refer to DoD 8910.1-M for specific procedures on public information collections. (T-0)

3.8.1. The organization that generates the public information collection must request approval and licensing from OMB through proper channels. (T-1)

3.8.2. OPRs submit required documentation (see paragraphs 3.8.2.1. through 3.8.2.3.) to their MAJCOM, DRU, and FOA Information Collection and Reports Managers. Sample documentation can be found at <http://www.dtic.mil/whs/directives/infomgt/collections/index.htm> or DoD 8910.1-M.

3.8.2.1. OMB Form 83-I, *Paperwork Reduction Act Submission*.

3.8.2.2. Supporting Statement.

3.8.2.3. Supporting Documentation.

3.8.2.3.1. Federal Register Notices.

3.8.2.3.2. The title page and pertinent sections of any regulatory and statutory authorities that authorize the collection.

3.8.2.3.3. The instrument of collection in final draft version. If the instrument of collection is a form, the agency's forms management office prepares the final draft according to procedures in AFI 33-360. If the instrument of collection is a system, screen shots of the questions shall be submitted.

3.8.2.3.4. Instructions that accompany the instrument of collection.

3.8.2.3.5. Paperwork Reduction Act Submission Coordination Summary Sheet.

3.9. Processing Time. Allow at least 120 days to process a request for OMB approval.

3.10. Emergency Processing. The DoD/CIO shall approve emergency requests for the processing of a collection of information under the following circumstances: (T-0)

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

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

3.10.3. Public harm would be prevented, if for example, strategies to combat a public health epidemic depend on information in a survey that needs to be fielded immediately. An example of an unanticipated event would be a natural disaster that has led to the need to provide benefits quickly to the victims. The use of emergency clearance procedures is warranted if a new statute is passed that requires implementation of an information collection within clearly shorter time frames called for in *The Paperwork Reduction Act* and specify the time period within which OMB should approve or disapprove of the collection (Title 5 CFR Part 1320.13). Control numbers assigned to collections of information approved under the

"emergency processing" procedures are not valid for more than 180 days from the date the agency requested approval.

3.11. Request for Extension. Organizations having primary responsibility for a currently licensed public information collection may request a 90-day extension in emergency situations. This request is submitted using OMB Form 83-E, *Paperwork Reduction Act Emergency Extension*, when additional time is needed to prepare the request for an OMB review for a collection that is expiring.

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

3.12.1. The MAJCOM, DRU, and FOA Information Collections and Reports Managers sends a cancellation notification to SAF/CIO A6XA, ATTN: Air Force IMCO, 1800 AF Pentagon, Washington DC, 20330-1000 or usaf.pentagon.saf-cio-a6.mbx.af-info-collection@mail.mil.

3.12.2. The Air Force IMCO then sends the request for cancellation to the DoD Clearance Officer, who informs the OMB desk officer.

3.13. Exemptions to Information Collection Requirements. Specific items not considered to be information can be found in Title 5 CFR Part 1320 and DoD 8910.1-M.

BEGIN SIGNATURE
WILLIAM J. BENDER, Lt Gen, USAF
Chief, Information Dominance and
Chief Information Officer

Attachment 1

GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION

References

Public Law 104-13, *The Paperwork Reduction Act of 1995*

Title 5, Code of Federal Regulations, Part 1320, *Controlling Paperwork Burdens on the Public*, current edition

DoDI 8910.01, *Information Collection and Reporting*, 6 March 2007

DoD 8910.1-M, *Department of Defense Procedures for Management of Information Requirements*, 30 June 1998

AFPD 33-3, *Air Force Information Management*, 8 September 2011

AFI 33-332, *Air Force Privacy and Civil Liberties Program*, 12 January 2015

AFI 33-360, *Publications and Forms Management*, 1 December 2015

AFMAN 33-363, *Management of Records*, 1 March 2008

Adopted Forms

OMB Form 83-I, *Paperwork Reduction Act Submission*

OMB Form 83-E, *Paperwork Reduction Act Emergency Extension*

DD Form 2936, *Request for Approval of DoD Internal Information Collections*

AF Form 847, *Recommendation for Change of Publication*

Abbreviations and Acronyms

A6PPF—Information Access Policy and Compliance Branch

AFI—Air Force Instruction

AFMAN—Air Force Manual

AFPD—Air Force Policy Directive

CIO—Chief Information Officer

CFR—Code of Federal Regulations

DoD—Department of Defense

DoDI—Department of Defense Instruction

DRU—Direct Reporting Unit

ESD—Executive Services Directorate

FOA—Field Operating Agency

FRN—*Federal Register* Notice

GAO—Government Accounting Office

GOCO—Government-Owned Contractor-Operated

HAF—Headquarters Air Force

ICB—Information Collection Budget

IICO—Internal Information Collections Officer

IMCO—Information Management Control Officer

MAJCOM—Major Command

OMB—Office of Management and Budget

OPR—Office of Primary Responsibility

RCS—Report Control Symbol

SAF—Secretary of the Air Force

SAF/CIO A6XA—Information Access Policy and Compliance Branch

WHS—Washington Headquarters Services

Terms

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

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

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

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

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

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

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

Public or Person—(as defined in 5 CFR 1320) Members of the public, or the term “person,” include individuals, partnerships, associations, corporations (including government-owned contractor-operated [GOCO] facilities), business trusts, legal representatives, organized group of individuals, state, territory, or local government. As to particular categories of “person,” OMB has determined: (1) Retired Federal Employees and Military Personnel on Inactive Status: The definition of “person” includes retired and other former Federal civilian employees. It includes retired and inactive military personnel, reservists and members of the National Guard unless you require information about their duty status. (The *FY 1986 Defense Authorization Act*, Section 804, states that the Secretary of Defense may conduct surveys of members of the Armed Forces serving on active duty, families of such members, and retired members of the Armed Forces to determine the effectiveness of existing Federal programs relating to military families and the need for new programs. In this context, consider them to be employees of the United States and not members of the public.) (2) Reserve Officer Training Corps (ROTC): ROTC cadets are considered employees of the United States for purposes of 44 United States Code (U.S.C.) 3502, *Public Printing and Documents*, “Coordination of Federal Information Policy,” when providing information to instructors during classroom and other training activities. ROTC cadets under contract may be asked to provide further information, as employees of the United States, provided that the information they give remains entirely within the scope of their employment. (NOTE: For surveys of Air Force personnel see AFI 38-501, *Air Force Survey Program*. Unless exempt, they may require licensing.)

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

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

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