

ARMY SURVEY REQUEST INSTRUCTIONS

Surveys and other types of information collections administered within or across OSD or DoD components must be licensed and comply with multiple policies (DoDI 1100.13, “DoD Surveys,” January 15, 2015 and DoDI 8910.01, “Information Collection and Reporting,” May 19, 2014). Surveys are defined by DoD as “systematic data collections, using personal or telephonic interviews, or self-administered questionnaires, in paper or digital format, from a sample or census of 10 or more persons as individuals or representatives of agencies that elicit attitudes, opinions, behavior, and related demographic, social, and economic data to identical questions that are to be used for statistical compilations for research or policy assessment purposes.”

The Army’s Information Management Control Officer (IMCO) is responsible for establishing and implementing Service policy and for licensing and tracking all Army information collections (AR 335-15, “Management Information Control System”). The IMCO has delegated authority to license *attitude and opinion surveys, focus groups, and interviews* to the U.S. Army Research Institute for the Behavioral and Social Sciences (ARI). All other types of information collections (e.g., program evaluations, customer satisfaction surveys, clinical assessments, course or training evaluations, and operational information collections) are subject to IMCO review/licensure.

Requirements for Surveys and Other Types of Information Collections

Army and/or DoD policies require that information collections comply with the following. For more information on each requirement, see the referenced policy(ies).

No Undue Burden. Individuals requesting an information collection must ensure that the information to be collected is not duplicative of information already available. When the information is not already available, requesters must demonstrate that they are using methods (e.g., a scientific sample vice census) to minimize the information collection burden on Soldiers. (Reference: DoDI 8910.01)

Army Sponsorship. Surveys, interviews and focus groups of Army personnel conducted by military or civilian students or by parties external to the Army require an Army Sponsor at the O6 level or above (or civilian equivalent). The Army Sponsor must: (1) affirm that the information collection is mission critical and will be worth the time/cost of Soldiers’ participation, and (2) acknowledge that the sponsor/sponsor’s office assumes responsibility for ensuring that the information collection meets all regulatory requirements.

Information Security. The information collected, and any Army information used to collect that information, must be stored, processed, or transmitted only on information systems that have obtained information assurance (IA) approval to operate in accordance with Army processes for the confidentiality level of their information. (Reference: AR 25-2)

Licensure. All information collections must be approved and assigned an information collection control symbol. Soldiers and Army civilians must not respond to an information collection that has not been properly approved and licensed. (Reference: DoDI 8910.01)

Privacy Impact Assessment (PIA). When personal information on individuals is collected in an electronic form, a PIA (DD Form 2930) must be performed to ensure that the data remain protected and private. (Reference: DoDI 5400.16)

Institutional Review Board (IRB). Surveys must be reviewed by a DoD IRB or Human Research Protections Office. This review can be concurrent with the review for licensure. It is incumbent upon the researcher(s) to share substantive changes made in response to one review with those doing the other review. (Reference: DoDI 3216.02; also see 32 CFR 219)

Cost Analysis. A cost analysis must be conducted using the DoD Cost Guidance Portal at <https://www.cape.osd.mil/CostGuidance>; once there, click on the “Internal Collections” link. Compensation costs are available at the Army Military-Civilian Cost System at <https://www.osmisweb2.army.mil/amcos/app/home.aspx>. Labor-cost information is also available at <http://www.opm.gov/oca> for civilians and <http://comptroller.defense.gov/rates/> for military personnel. (Reference: DoDI 8910.01)

Operations Security (OPSEC). Army personnel conducting or sponsoring a survey must ensure that all publications and presentations containing survey data are reviewed by an OPSEC Level II Certified Officer. (Reference: AR 530-1)

Public Release Clearance. Publications and presentations intended for public release and containing Army survey data must be reviewed by a Public Affairs Officer (PAO) prior to release to non-DoD persons (including, but not limited to, ghostwriters, literary agents, editors, and publishers). (Reference: DODD 5230.09; also see AR 360-1)

Requesting a Review and License from ARI

To request ARI review and licensure of attitude and opinion surveys, focus groups or interviews, contact Drs. Robert Simmons (robert.o.simmons2.civ@mail.mil) or Nicole Thompson (nicole.j.thompson14.civ@mail.mil) to request the latest form(s) used for review. Alternately, you may send an e-mail requesting same to the following address: usarmy.pentagon.hqda-ari.mbx.usarmy-survey-approval@mail.mil.

On average, if all necessary documents are submitted, reviews can be accomplished in 4-6 weeks. Failure to supply the necessary documents or submission of incomplete documents prolongs the time required to review. Upon approval, ARI will assign a Survey Control Number (SCN) which should be on the first page of the instrument or website in the following format:

SURVEY APPROVAL AUTHORITY:
U.S. ARMY RESEARCH INSTITUTE FOR THE
BEHAVIORAL AND SOCIAL SCIENCES
SURVEY CONTROL NUMBER: DAPE-ARI-AO-xx-xx
RCS: xxxxxx
EXPIRES: xx/xx/xxxx

For information on the licensing requirements for other types of information collections or for surveys of Army contractors, members of the public, or members of other Services, contact:

Mr. Kurt Hedberg, Army IMCO, at kurt.e.hedberg.civ@mail.mil

Ms. Sandra Stroud, Alternate Army IMCO, at sandra.d.stroud.civ@mail.mil.

Additional information on the licensing requirements for information collections among members of the public or across Services can be found at:

<http://www.dtic.mil/whs/directives/collections/index.html>

<http://www.dtic.mil/whs/directives/collections/overview.html>