

## ARMY SURVEY REQUEST INSTRUCTIONS AND SUPPORTING STATEMENT FOR EXEMPTION DETERMINATION

**NOTICE: Due To Frequent Updating, Please Do Not Use This Statement Unless Received Directly From RMDA Following Introductory Discussion.**

### I. INSTRUCTIONS

#### Current DoD and Army policy

Proposed surveys and other collections of information from Army personnel, including Army retirees, dependents, and survivors, generally must have Army sponsorship, approval or exemption from a licensing authority, approval or exemption from an Army IRB or the Army Human Research Protection Office (AHRPO) and, when appropriate, must have permission from a local commander or executive to study a particular site or organization. This section explains the requirements and processes for survey approval and licensing, as exercised by the Army's survey licensing authority for internal Army surveys, the Records Management and Declassification Agency (RMDA).

The licensing authority for multi-Service collections is Washington Headquarters Services (WHS). The licensing authority for surveys of the general public is the Office of Management and Budget (OMB). Information on the approval processes for these types of collections may be obtained from the Army's Information Management Control Officer (IMCO), Mr. Douglas V. Fravel, at <douglas.v.fravel.civ@mail.mil>.

Organizations collecting information without proper licensing will be reported to the Under Secretary of Defense for Personnel and Readiness, the Administrative Assistant to the Secretary of the Army, the Assistant Secretary of the Army for Manpower and Reserve Affairs, and/or the Deputy Chief of Staff for Personnel, G-1. If individuals collect information from the public without OMB approval, they will be reported to OMB through the DoD CIO as violations of the Paperwork Reduction Act and will become part of OMB's Information Collection Budget report to Congress.

**Review and Licensing Requirements for Army Internal Surveys.** AR 25-98 empowers RMDA to determine which types of internal, Army-only surveys require the completion of this Supporting Statement for Service-level review and licensure. Other Army internal information collections may require completion of different documents, but all collections, including surveys, must receive some type of Survey Control Number (SCN).

The Supporting Statement (Section II of this document) is most appropriate for:

- surveys distributed only to fewer than 100 Army personnel (military or civilians)
- focus groups or interviews in which information would be collected from fewer than 100 people in a single fiscal year
- surveys whose sample excludes senior leaders (such as flag officers or members of the Senior Executive Service) and vulnerable populations (such as minors, surviving spouses)
- surveys without sensitive questions whose answers could harm the Army or damage the reputation or employability of individual respondents (such as questions on military operations, national security, health status, sexual harassment or assault, risky behaviors, personal finances, personally identifying information, political or religious beliefs,

unethical or illegal activities, or any other questions whose answers could damage a respondent's assets, reputation, or employability)

- surveys with a very narrow programmatic focus (such as customer-feedback surveys, and equipment evaluations)
- surveys administered to select individuals or classify them into occupations
- surveys that collect information during Army support of domestic and international emergency operations and incidents

Collections that do not require licensure, and do not require completing either version of the Army Survey Request Instructions and Supporting Statement for RMDA review/approval, are:

- On-site training or course evaluations
- Collections of health information for clinical purposes only
- Surveys conducted by operationally deployed units or forces to directly assist front-line operations

However, notification of sponsoring agency IMCO is necessary.

A different (FORMAL) version of this document may be more appropriate:

- for surveys on broad beliefs, attitudes, or opinions, with sample sizes of 100 or more
- for information collections with any sample size whose sample includes senior leaders (such as flag officers or members of the Senior Executive Service) or vulnerable populations (such as minors, surviving spouses)
- for collections of sensitive information that could harm the Army or damage the reputation or employability of individual respondents (such as questions on military operations, national security, health status, sexual harassment or assault, risky behaviors, personal finances, personally identifying information, political or religious beliefs, unethical or illegal activities, or any other questions whose answers could damage a respondent's assets, reputation, or employability)

Action officers and principal investigators are encouraged to contact the POCs listed near the end of this Section to determine which application documentation is required for their collection. RMDA will review the application and take one of the following actions: (1) approve the survey for distribution and assign a regular SCN, (2) exempt the survey from regular licensure and assign a modified SCN to show that the collection has been specifically exempted from regular licensure, (3) disapprove the proposed survey for distribution, or (4) deny approval but advise that the application may be revised and resubmitted for a second, final review; if the application is denied a second time, the survey may not be resubmitted for a third review and cannot be administered. Upon approval, an SCN will be assigned and should appear on the front page of the survey questionnaire or other documents respondents or participants may see.

### **Policy Compliance**

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 would not duplicate information already available. When the information is not already available, requesters must demonstrate that they are using methods (such as short questionnaires, and a scientific sample vice census) to minimize the information collection burden on Soldiers. (Reference: AR 25-98; also see DoDI 8910.01)

**Commercial Survey Platforms and Software.** Commercial platforms and software, unless specifically approved by CIO/G-6, are not authorized forums/products for conducting Army

internal surveys. (Reference: AR 25-98) Also, Survey Monkey is not an authorized data collection platform within the Army. (HQDA CIO Cybersecurity Oversight & Compliance Division, 30DEC2020)

**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: DoDI 8510.01, AR 25-2, DA PAM 25-2-14)

**Records Management.** AR 25-400-2, ARIMS prescribes policies to properly manage information (records) from creation through final disposition. Records document the Army's business and can be found in all media formats including Automated Information Systems (AIS). Each AIS that creates or contains record information **MUST BE SCHEDULED** IAW AR 25-400-2, Summary of Change; and DA PAM 25-403, Chap.5 and Chap. 3-16. (Reference: 44 USC 29, 31, 33; Federal Records Act PL 113-187; 36 CFR XII, B; AR 25-400-2, Summary of Change; AR 25-403, Chap. 5 and Chap. 3-16.).

**Licensure.** 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 either properly approved and licensed or properly and specifically exempted from needing a standard license. (Reference: AR 25-98; also see DoDI 8910.01)

**Protection of Written Information.** Hard copies of survey responses must be treated as Controlled Unclassified Information (CUI). (Reference: DoDI 5200.48)

**Privacy Impact Assessment (PIA).** When personal information on individuals is collected online, or when a DoD electronic information system (IS) collects, maintains, uses, or disseminates personally identifiable information (PII), a PIA (DD Form 2930) must be performed for the IS or online application to ensure that the data remain protected and private. (Reference: DoDI 5400.16; also see <<https://www.RMDA.army.mil/privacy/RMDA-PO-PIA.html?param=GF6-C7G-T66-M0X>>)

**Privacy Notice.** A Privacy Act Statement (PAS) is required when information collected about individuals will be stored in a Privacy Act System of Record (SOR). When an individual is asked to provide personal information about themselves that will NOT be stored in a Privacy Act SOR, a Privacy Advisory may be provided instead of a PAS. (References: DoDI 5400-11R and AR 25-22)

**Privacy Act System of Record Notice (SORN).** Notices of all Army systems of records (SOR) are required by the Privacy Act to be published in the Federal Register. A SOR is a group of records under the control of DA from which PII about an individual is retrieved by the individual's name or identifying number, symbol, or other unique identifier. DA SORN numbers are available at the Records Management and Declassification Agency (RMDA) Web site: <https://www.rmda.army.mil/privacy/sorns/>. (Reference: Army Regulation 25-22)

**Human Subjects Research (HSR) review/Institutional Review Board (IRB).** Surveys conducted within the Army must be reviewed by an Army Human Research Protection Program (HRPP) office or Army IRB. Investigators external to the Army enterprise or pursuing ACADEMIC REQUIREMENTS must contact the Army Human Research Protection Office for guidance on how to proceed. Investigators from within the Army must obtain documented clearance from an Army HRPP office or an Army IRB. (Reference: AR 70-25; also see DoDI 3216.02, 32 CFR 219, and <<https://ahrpo.amedd.army.mil/index.html>>)

**Cost Analysis.** A cost analysis must be conducted, preferably using the DoD Cost Guidance Portal at <https://CostGuidance.osd.mil>. The cost includes the total value of the time of survey participants. Labor-cost information is available at <https://www.dfas.mil>. To get hourly costs, divide monthly compensation by 173 or yearly compensation by 2080. (Reference: AR 25-98; also see DoDI 8910.01)

**Operations Security (OPSEC).** Army personnel conducting or sponsoring a survey must ensure that all publications and presentations containing Army 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 release or clearance authority (such as the G-1) or 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: AR 360-1; also see DODD 5230.09)

### Requesting a Review and License

If you are planning to do a survey for which Section II (Supporting Statement) of this document is most appropriate, complete the **YELLOW HIGHLIGHTED ITEMS** in Section II and follow the “Army Survey Standards” in Appendix A of this document. **If ITEMS of Section II are not applicable to the proposed project, enter “Does Not Apply” with a brief explanation. However, if an ITEM of Section II is not highlighted in yellow, you do not have to enter any response.** In addition to responding to highlighted Items in Section II, submit a final or nearly final copy of the survey instrument(s).

All survey applications will be submitted to RMDA for **final** review, approval and assignment of a Survey Control Number (licensure). Initial inquiries regarding Army internal survey policy and procedure should be directed to Domenic Baldini at <domenic.a.baldini.civ@mail.mil>.

The Primary Investigator/Action Officer will send a completed Statement and all applicable documents to their **jurisdiction (Agency) Information Management Control Officer (IMCO)** for project approval and assistance with package preparation as required by AR 25-98. To identify your jurisdiction IMCO, contact your Records Management Officer. The jurisdiction IMCO will forward the Supporting Statement (application) and applicable documents with recommendation to the assigned RMDA analyst, either Domenic Baldini at <domenic.a.baldini.civ@mail.mil>, Jason Slutzky at <jason.m.slutzky.ctr@mail.mil>, Laverne Lashley at <laverne.lashley.civ@mail.mil>, or Vernae Avery at <vernae.p.avery.ctr@mail.mil> and copy to <Douglas V. Fravel, Army IMCO, at <douglas.v.fravel.civ@mail.mil>.

The following process applies when one Army organization is sponsoring an Army internal survey, another Army organization is managing the survey, and the managing organization has a liaison with RMDA. The sponsor’s IMCO will forward the complete Supporting Statement package (application), consisting of the Supporting Statement and required documents, with a recommendation of approval, if applicable, to the managing organization’s RMDA liaison. The RMDA liaison will forward the package with recommendation to RMDA analyst, Domenic Baldini at <domenic.a.baldini.civ@mail.mil> with copy to <douglas.v.fravel.civ@mail.mil>.

Based on current Administration priorities, the Office of Management and Budget (OMB) has requested that certain collections of information from DoD’s military and/or civilian personnel be submitted to OMB for approval pursuant to the Paperwork Reduction Act (PRA) of 1995. Some Army internal collections may require RMDA to seek OMB review and clearance. OMB review would most likely occur if information would be collected from DoD personnel about: COVID-19 Response - Climate Change - Racial Equity - Economic Relief - Gender Relations - Military Families, - Sexual Harassment or Sexual Assault, - other topics of great interest to the White House.

The likelihood of OMB review increases if the results of a collection on any of these topics: would be published, would be used to make significant policy or program decisions, or would fulfill an NDAA requirement.

If you have questions, contact Mr. Fravel, Army IMCO, at <douglas.v.fravel.civ@mail.mil> or (571) 515-0220 or Domenic Baldini at <domenic.a.baldini.civ@mail.mil> or (571) 515-0279.

**Other Collections.** For guidance on the reviewing and licensing requirements for surveys and other information collections from Army contractors, members of the public, members of other Services, or for information collections via forms, contact Mr. Doug Fravel, Army IMCO, at (571) 515-0220.

Useful information on the licensing requirements for information collections among members of the public or across Services can also be found at the following URLs:

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

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

## II. SURVEY SUPPORTING STATEMENT

If your collection falls into one of the exemption categories in AR 25-98, only the yellow-highlighted parts of this Supporting Statement need to be read and responded to, and no documentation other than a completed Supporting Statement and a copy of the survey instrument needs to be sent to RMDA. You may skip Items not highlighted in yellow, but respond to the Items highlighted in yellow.

### A. **Survey Name and Principal Investigator's Name and Contact Information.**

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### B. **Name and Contact Information of the Survey's Army Sponsor.**

1. If this survey is being conducted by an Army activity, provide the activity's sponsor's name and contact information below. The Army sponsor must be an O-6 or GS-15.
2. If this survey is being conducted to meet an **ACADEMIC requirement** or by a person or agency outside of the Army, the Army sponsor must be **at least a Brigadier General or member of the Senior Executive Service (SES)** and cannot be the researcher or a relative or subordinate of the researcher. The sponsor must state in writing how he or she plans to use the survey findings and must assert in writing, IAW AR 25-98, Chap 6-7., that he or she:
  - has read the draft instrument and how it will be administered and analyzed
  - believes the survey is essential to an Army mission and, therefore, is worth the time of the personnel who would participate
  - gives permission for both the researcher (if in the Army) and the survey respondents to engage in the survey during official duty hours
  - will do everything possible to help meet the requirements outlined in this Army Survey Request application
  - shares responsibility for any negative publicity that could result from the survey's administration and/or release of findings

The general officer or SES or his/her designee must also affirm they will:

- provide general survey oversight
- determine the sensitivity of survey findings and ensure that all documents are marked with the appropriate distribution/release statement
- monitor any release of survey data

**Provide a copy of the sponsor's certification memo that he/she accepts these responsibilities.**

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### C. **Need for the Survey. BRIEFLY explain/describe the following:**

- why the survey is critical to an Army mission,
- what will be surveyed or assessed,
- how the survey will be conducted,
- any Congressional, DoD, Army or other requirement, regulation, and/or directive to collect this information, and
- the DoD or Army contract, grant, or other funding source for this collection, if applicable.

[Add Text Here](#)

- D. Use of the Information.** Describe how, by whom, and for what purpose the information is to be used. What specific actions will be taken or considered based upon this information? Unless this is a new survey, describe how the information has been used in the past and how the current collection differs. If this survey is being conducted to meet an academic requirement, be sure to indicate how the data also serves the Army.

[Add Text Here](#)

- E. Non-Duplication.** Does this survey duplicate data collected in any current or recent Army /DoD/OMB survey or existing administrative data? Explain why the information cannot be obtained from existing data or other planned future data collection(s).
- F. Proposed Project Timeline.** Provide a timeline for the entire project, including the field begin and end dates of the survey, estimated completion date of the presentation/report, its publication date, as well as any other scheduled actions.

[Add Text Here](#)

- G. Less Frequent Collection.** What would be the consequences if the survey were not conducted? If this is a recurring survey, when was the last time the survey was administered? What would be the consequences if the survey were conducted less frequently than planned? If there are technical or legal obstacles to reducing the burden in this manner, please explain.
- H. Gifts or Payment.** Will any Federal funds be used to give payments, incentives, or gifts to respondents or potential respondents?
- I. Informed Consent.** Will informed consent be obtained? If so, provide a copy of the informed consent document. See R.4. Are respondents informed of the potential risks and benefits of participation? Are respondents informed that participation is voluntary as per DoD guidelines? Are all questions voluntary as per DoD guidelines, such that respondents can skip any questions if they want to?
- J. Use of Information Technology.** Does the survey involve the use of Internet, other technological collection techniques (such as electronic response submission), or have a web-based option? If yes, provide a short description.

[Add Text Here](#)

- K. Protection of Information.**
1. Will any personally identifiable information (PII) such as names, Social Security Numbers (SSN), e-mail addresses, Internet Protocol [IP] addresses, street addresses, telephone numbers, or multiple or detailed demographic questions be collected with the integrated data collection Information System you are using? **If so, consult your agency CIO/G-6 and verify the copy of the Automated Information System data collection system Privacy Impact Assessment (PIA) (DD Form 2930)**

**and consult your agency Privacy Officer and create a survey Privacy Act Statement.**

If you collect a form of PII **not** mentioned in the current/valid PIA (DD Form 2930) issued for the IS or online application you intend to use, contact CIO/G-6 for guidance, a modified DD Form 2930 may be required.

**If SSNs are collected in any form, including truncated, consult your agency Privacy Officer to verify their copy of the agency SSN justification memo**

signed by the agency Privacy Officer, the Army's Privacy Officer at RMDA and submitted to the DoD Privacy Office (DPCLTD). This requirement was established by DoDI 1000.30, "Reduction of Social Security Number Use within DoD." to justify collection and continued use of SSN.

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2. Will any PII remain attached to the answers once they have been received from the respondent?
3. Could a user of the survey's dataset analyze responses to multiple demographic questions to identify specific individuals? (If your sample or population is small, or if some demographic categories contain few people, the answer is probably "Yes.")
4. Can the survey returns be monitored (such as by lithocodes on the questionnaire or cookies sent by a web server) to determine who has or has not completed a survey?
5. Will commercial off-the-shelf (COTS) software (for example, Verint, or Qualtrics) be used to administer the survey on the web or agency network? If yes, provide the name of the survey software. See N.4.

[Add Text Here](#)

6. Who will have access to the completed collection instruments and the resulting electronic database(s) or dataset(s)?
7. Will any survey data be collected by hard copy? How will hard copies be controlled, secured, destroyed, and archived to protect confidentiality? Contact your Records Management Officer for a copy of the *Approved Disposition Schedule* provided by RMDA on these records and provide a copy with this submission.

[Add Text Here](#)

8. Disclosure Avoidance. What steps will be taken to prevent identification of data related to a specific respondent or non-respondent from being disclosed?
9. What is the smallest size (n) that will be used for the analysis/presentation of results (typically 5 or more per cell is the minimum)?



10. Will the answers of individuals ever be shared with their leadership, or anyone else, in such a manner that answers/responses can be linked to the individual with some degree of confidence?
11. If you are collecting personally identifiable information (PII), will the responses will be retrieved from the survey data base by PII? If so, consult your PAO or CIO/G-6 to verify the Privacy Act System of Records Notice (SORN) Identification (ID) number, title, and address, and the Privacy Impact Assessment (PIA) (DD Form 2930). IAW DoD 5400.11-R, "Department Of Defense Privacy Program," include a copy of the **Privacy Act Statement, SORN and PIA** in the survey coordination package. Will the collection, retention, and use of the information be consistent with the SORN?

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**L. Sensitive Questions.**

1. Does the survey ask any questions whose answers could harm the Army or damage the reputation or employability of individual respondents (such as questions on military operations, national security, health status, sexual harassment or assault, risky behaviors, personal finances, personally identifying information, political or religious beliefs, unethical or illegal activities, or any other questions whose answers could damage a respondent's assets, reputation, or employability) or any of the subjects mentioned in AR 360-1, paragraphs 7-6.a(1) through 7-6.a(20)? Provide justification for any questions of a sensitive nature and any explanation provided to respondents related to asking sensitive questions.

[Add Text Here](#)

2. Could answering any question implicate the respondent in violating the law (such as the Uniform Code of Military Justice [UCMJ])? If unsure, check with legal counsel for a determination.

**M. Number of Questions and Sample Size**

1. IAW DoD's Survey Burden Action Plan, new single-Component (for example, Army) surveys should have a **maximum of 100 questions**. Identify the number of questions in the survey instruments. This means no respondent should respond to more than 100 items at a single sitting. If your survey is new and has more than 100 questions, provide senior leadership justification memorandum for non-compliance with the DoD Survey Burden Action Plan.

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2. IAW DoD's Survey Burden Action Plan, existing single-Component (for example, Army) surveys must make a one-time but permanent 10% reduction in questions (i.e., decision points). Identify the number of questions in the survey's last administration and in the current draft.

3. IAW DoD's Survey Burden Action Plan, establish a **maximum sample size of 50,000** for new surveys. Very large sample sizes, like census surveys, burden Soldiers and Families and waste money. And, limit administration of ongoing surveys to once every 2 years or longer. To exceed these limits to the Action Plan, provide senior leadership justification memorandum. **Identify the sample size for the survey and how often it will be administered.**

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**N. Information Technology and Protection of Army Survey Data.**

ARMY POLICY: Information Technology (IT) that receives, processes, stores, displays, or transmits DoD Information is required to implement the Risk Management Framework (RMF) to ensure the confidentiality, integrity, and availability of DoD Information commensurate to the protection requirements required for that information. INTERNAL ARMY Information Systems (IS) are required to obtain an authorization for operations (ATO, IATT, ATO-C) by an Army CIO/G-6 appointed Authorizing Official prior to operating. IT PRODUCTS and SERVICES are required to obtain an Approval through the RMF *Assess Only* process before operating. Army Organizations will adhere to CNSS 1253 and associated overlays, DoDI 8510.01 and AR 25-2, and associated DA PAMs, before utilizing any IT to conduct surveys. Army organizations that choose to use commercial services will ensure the security protections of the IT delivering the service and/or storing the data are appropriate to the confidentiality, integrity, availability and privacy requirements of the organization and the mission.

NOTE: All AOs must consult with their CIO/G-6 Program-Information System Security Manager (P-ISSM) to discuss their complete/integrated Army data collection process (includes survey administration, IS location, IS ownership, software, software ownership, data hosting, maintenance, analysis, destruction, transfer, etc.) and receive clearance that the **integrated data collection process** ensures data security to meet the Army agency's operational mission.

1. Where are you collecting, storing, and processing the data? Select all type(s) of information systems (IS) that apply.
  - Army IS
  - DoD IS
  - Other Federal IS
  - Commercial or Contractor IT Service (def.: Capability provided to DoD by an external provider based on the use of information technology)
  - Commercial IT Product (def.: Individual hardware or software items)
  - Personal computer and/or other privately owned device
  - Other IT Product or Service (describe) \_\_\_\_\_
2. If "Army, DoD, or other Federal IS" is selected for question N.1., provide verification or copy of documentation verifying completed assessment of required security controls of the IS (i.e., ATO, IATT, or ATO-C) from a CIO/G-6 appointed Authorizing Official that ensures security sufficient to

meet your agency's operational mission IAW DoDI 8510.01, AR 25-2, DA PAM 25-2-14. NOTE: Contact the P-ISSM in CIO/G-6 your office for guidance.

3. If "Commercial or Contractor IT Service" is selected for question N.1, and, since Army is not responsible for issuing authorization decisions for these services, contracting Army organizations do perform security assessments and sign formal service level agreements (SLA) enforcing agreed upon cybersecurity standards. Ensure the SLA contains the Statement of Work verifying your agency performed a security assessment, determined the risk level, and signed a formal SLA ensuring security sufficient to meet your agency's operational mission IAW DoDI 8510.01, AR 25-2, DA PAM 25-2-14. NOTE: Contact the P-ISSM in your CIO/G-6 office for guidance.

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4. If "Commercial IT Product" (survey software like Verint or Qualtrics) has been/will be purchased, installed, and used on a DoD information system, then the P-ISSM and/or Security Control Assessor (SCA) organization are responsible for performing a risk assessment and determining the risk level. A commercial IT product may be used to administer a survey on an Army, DoD, or other Federal IS, and since individual IT products (hardware or software) do not require authorizations under RMF, they must be securely configured in accordance with applicable DoD policies and security controls and undergo special assessment of their functional and security-related capabilities and deficiencies. Provide a copy of the authorization to operate (ATO) (Assess Only), verifies that cybersecurity personnel ensured these products have completed evaluation and configuration processes prior to incorporation into, or connection to, an Army IS or PIT system ensuring security sufficient to meet your agency's operational mission IAW DoDI 8510.01, AR 25-2, DA PAM 25-2-14. FEDRAMP certification is not acceptable in lieu of this authorization. NOTE: Contact the P-ISSM in your CIO/G-6 office for guidance.

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5. If "Personal computer and/or other privately owned information systems (IS) or devices" is selected for question N.1, and if the IS/device is/will be connected to the internet, it must have an Army authorization to operate (ATO) (Assess and Authorize), interim authorization to operate (IATO), or other proof that the IS/device has been authorized by the Army, DOD, or other Federal Information Assurance authority to collect or host official Army data. FEDRAMP certification is NOT acceptable in lieu of this authorization. Please provide copy of the authorization. NOTE: Contact the P-ISSM in your CIO/G-6 office for guidance.

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**O. Records Management for Automated Information Systems (AIS).**

Official Army data received, processed, stored, displayed, or transmitted in an electronic system/data base is **defined as a record**. The AIS that creates or contains this record information must be scheduled by the National Archives and Records Administration (NARA) to be preserved according to the disposition instructions contained in the Records Retention Schedule-Army. Army commands, through the servicing Records Management Official (RMO) (**Records Administrator, Records Manager, or Records Coordinator**), will establish record keeping requirements and retention periods for the AIS through notification and coordination with the Records Management and Declassification Agency (RMDA). (Reference: 44 USC 29, 31, 33; Federal Records Act PL 113-187; 36 CFR XII, B; AR 25-400-2, Summary of Change; AR 25-403, Chap. 5 and Chap. 3-16.).

1. **Contact your RMO (Records Administrator, Records Manager, or Records Coordinator) and request a copy of the *Approved Disposition Schedule* provided by RMDA on the records collected in the AIS as well as the *Record Number* listed in the Army Records Information Management System. Please provide the NARA Record Number.**

If pending, please provide the date of submission to the National Archives and Records Administration (NARA) of the SF 115 Request for Records Disposition Authority.

2. If you are collecting identifiers in the AIS data base and the survey responses will be retrieved by an identifier, provide the Privacy Act System of Records Notice Identification Number and title and address, a copy of the Privacy Impact Assessment (DD 2930) and a copy of the Privacy Act Statement.

#### **P. Presentation or Publication of Results.**

1. How will the results be used? To whom will results be presented and how (such as presentations to Army leaders and decision makers, presentations at conferences, speaking engagements, presentations or briefings to other Federal Government stakeholders, academic faculty, and any planned reports or publications)?

[Add Text Here](#)

2. Provide the name, organization and contact information for any OPSEC Level II Certified Officer who has reviewed your data collection plans and will review your write-up of results. **If this survey contains OPSEC related questions**, clear the data collection plans and the survey instrument with the **OPSEC Level II Certified Officer** prior to licensing and provide copy of clearance with Supporting Statement. Refer to Section II.L of this document for examples of sensitive topics.
3. **If you plan to share results with non-DoD persons (ex., academic officials, public audiences, private publications)**, provide the name, organization and contact information for the Public Affairs Officer (PAO) who will review your

write-up of results and data collection plans prior to release to non-DoD persons. Clear the data collection plans and the survey instrument with the Public Affairs Officer (PAO) prior to licensing and provide copy of clearance with Supporting Statement. Refer to Section II.L of this document for examples of sensitive topics.

**Q. Collections Employing Statistical and Non-Statistical Methods.** Describe the potential respondent universe and any sampling or other method used to select respondents. Estimate the expected response rates for the collection as a whole, as well as including the actual response rates achieved during the last survey, if previously conducted.

**R. Survey Procedures.** Describe the following.

1. Statistical Methodologies for Stratification and Sample Selection.

a) Target population and how is eligibility defined/determined

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b) Type of sampling design (for example convenience vs. probability, simple random, stratified, cluster, multi-stage)

c) Variables used to stratify the sampling frame, if applicable

d) Proposed overall sample size

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e) Proposed sample size per relevant subgroup (for example, pay grade, gender, etc.)

f) Anticipated response rate used to determine the sample size

Anticipated numbers of (1) Army Active Component respondents, (2) Army Reserve Component respondents, and (3) Army Civilian respondents

2. What is the source of contact information for the sample?

3. What criteria were used to determine who will receive an invitation to participate?

4. Provide copies of any recruiting materials, letters, notification e-mails, informed consent or reminders. How will potential participants be recruited, and what is the maximum number of times they could be contacted?

5. Will anyone under the age of 18 be included in the survey? If so, provide copy of document obtaining consent (or assent).

[Add Text Here](#)

6. **Are potentially vulnerable populations included in the target population (such as prisoners, pregnant women, or individuals with impaired decision making ability)?**

[Add Text Here](#)

7. Estimation Procedures. If response rates are expected to vary across sample subgroups such as rank groups, how will the survey results be statistically adjusted/weighted so that they better estimate the population? If weighting will not be done, provide justification.
8. Maximization of Response Rates, Non-Response. Discuss methods used to maximize response rates and to address instances of non-response. Will any non-response studies or analyses be conducted?
9. Tests of Procedures. Describe any pre/pilot tests of procedures or methods either to be undertaken or undertaken already. Testing of potential respondents is strongly encouraged as a means of refining proposed surveys to reduce respondent burden, as well as to improve the survey instrument's utility.
10. Statistical Consultation. Provide name, organization and contact information for individual(s) consulted on statistical aspects of the design.
11. Collection and Analysis. Provide name, organization, and contact information of person(s) who will actually collect and analyze the survey data.

- S. **Human Research Protection Program (HRPP), Institutional Review Board (IRB) or Army Human Research Protections Office (AHRPO) Review and Authorization**. If any of the information collection activities and/or the resulting data may be used for research purposes defined in accordance with 32 CFR 219.102(I), you may need an additional Army/Department of Defense regulatory review IAW DODI 3216.02, Protection of Human Subjects and Adherence to Ethical Standards in DOD-Conducted and –Supported Research. The type of review will differ based on the scope of the activities and whether the investigator(s) conducting the activities are affiliated with DOD-institutions and/or non-DOD institutions (e.g., to fulfill the requirements of an academic degree program).

1. **With this Army internal survey licensure application (Supporting Statement) consult your Army agency HRPP officer for a determination on your project.** Provide any applicable written documentation that you have received or shows that you are pursuing an official determination or approval from one or more of the following Army HRPP review authorities: an Army IRB, a Human Protections Administrator/Director (HPA/D), an Exempt Determination Official (EDO), a Human Research Protection Official (HRPO), or AHRPO.

2. You may email AHRPO at: [usarmy.ncr.hqda-otsg.mbx.otsg-ahrpo@mail.mil](mailto:usarmy.ncr.hqda-otsg.mbx.otsg-ahrpo@mail.mil) to request assistance in determining which, if any, review processes are applicable to your study.

**T. Cost Analysis.** In accordance with DoDI 8910.01 (Enclosure 2, para 4.c.(2)) requirements, those using a Common Access Card (CAC) should provide the cost analysis conducted using the DoD Cost Guidance Portal located at <https://CostGuidance.osd.mil>. If the site is down, or if you are not using a CAC, you can find labor-cost information at <https://www.dfas.mil>. To get hourly costs, divide monthly compensation by 173 or yearly compensation by 2080. Ensure that the cost analysis includes the value of participants' time, the value of researchers'/support staff time spent planning and administering the data collection, and other data-collection costs (such as the cost of a contract, hardware, software, or costs for travel, materials, and mailing, if applicable).

## APPENDIX A: ARMY SURVEY STANDARDS

### I. SURVEY INSTRUMENT AND QUESTION DESIGN

- A. If this survey has been reviewed or administered before, the review copy of the survey should highlight new and revised questions and anything else that has changed since the last review or administration. Remember to remove this highlighting before the survey is administered.
- B. Use sans serif (for example, Verdana) for screens, serif (for example, Times New Roman) for paper.
- C. Do not burden respondents with lengthy surveys that ask redundant questions. New surveys should have no more than 100 questions. Recurring surveys with more than 100 questions must reduce the number of questions by 10 percent the next time they are administered. Thereafter, any addition of new questions on recurring surveys must be offset by elimination of a comparable number of existing questions.
- D. Participation in surveys and focus groups should be voluntary, and respondents should be able to skip individual questions that they do not want to answer unless the response is essential for rest of the survey (such as asking Service for a single-Service survey) or for branching.
- E. Write instructions, questions, and response options in simple, concrete language that all respondents can understand.
- F. Choose words and questions that have unambiguous meanings. Avoid abbreviations (for example, “e.g.”) and symbols (for example, “/”) with meanings that are ambiguous.
- G. In a self-administered instrument, consistently use highlighting to differentiate different types of content (for example, **bold question stems** and *italic instructions*) from response options. However, use ALL CAPS and underlining sparingly in question stems and response options.
- H. Avoid biased or leading questions, except for language that encourages respondents to admit to socially undesirable attitudes or behaviors (for example, “Many people have . . . at least once. How often have you . . . ?”).
- I. Limit each question to a single idea, reference, or construct.
- J. If using different administration modes, a question should have the same meaning in each mode, even if it should be worded differently across modes.
- K. It is usually better to use filter questions (for example, “Are you currently married?”) than to use hidden questions in the form of an N/A response option (for example, “Does not apply, I am not currently married”).
- L. Questions that ask the respondent to provide information about other people should be limited to areas in which most respondents would know this information.



- M. Questions using copyrighted scales need permission for their use from the copyright owner.
- N. Reference periods should be stated early, be specific (for example, “In the past seven days” for frequent behaviors or “In the past 12 months” for infrequent behaviors), and avoid the vague present (for example, instead of saying, “Do you worry . . . ?” say instead, “Are you currently worried . . . ?”).
- O. Try to avoid text inside of parentheses and definitions outside of question stems if you want respondents to read these.
- P. Do not say, “Do not include . . .” at the end of a question. Say instead, “Other than . . .” at the beginning of a question.
- Q. Avoid agree-disagree items if possible. For example, instead of agree-disagree items such as, “I often . . .” or “It is important to . . .,” ask a construct-specific question such as, “How often . . . ?” or “How important is it to . . . ?”
- R. If you must use agree-disagree items, avoid “not” and qualifiers such as “usually.”
- S. Consider the use of instructions (such as, “*Mark Yes or No to each*”) to tell respondents how to complete individual items or sets of items.
- T. Wording for questions on marital status, education, retention, racial discrimination, sexual harassment and sexual assault should conform to accepted standards and practice commonly used in Army and DoD surveys unless adequate justification is provided. However, questions on the experience or prevalence of sexual harassment and sexual assault must also be pre-approved by SHARP and SAPRO.
- U. Questions about the respondent’s race and ethnicity must conform to Office of Management and Budget (OMB) standards for Federal surveys. For large populations or when respondents have been informed they could be identified, this means first asking, “Are you Hispanic or Latino?” and then asking, “What is your race? (*Mark one or more*).” The response options for race **cannot** include “Other,” “Multiracial,” “Minority,” “Caucasian,” “Native American,” or “Middle Eastern or North African.” The response options **must** include: “American Indian or Alaska Native,” “Asian,” “Black or African American,” “Native Hawaiian or Other Pacific Islander,” and “White.”
- V. Other than in the race question, response options should include all possible alternatives (which may be all possible alternatives, or all likely alternatives plus “Other”); the alternatives should also be mutually exclusive unless choosing multiple response options would make sense and respondents are instructed to mark all that apply.
- W. Response options should be appropriate to the question being asked and should be balanced between positive and negative options.
- X. Either “Neutral” or “Neither . . . nor . . .” would make sense as the middle response option only in bipolar scales such as agree-disagree, favor-oppose, or satisfied-

dissatisfied. An example of a good unipolar scale is, “Not at all helpful,” “Slightly helpful,” “Somewhat helpful,” “Helpful,” and “Extremely helpful.”

- Y. Ideally, each response option should have a verbal label whose meaning clearly differs from the meanings of other response options. This implies there should usually be only 5 points in a unipolar scale and 7 points in a bipolar scale. At the very least, verbally label the two extreme responses and the midpoint, and remember there is no midpoint on a scale with 10 points or any other even number of points.
- Z. Avoid vague quantifiers (such as “often”) when most respondents could give you numbers, but avoid asking for specific numbers most respondents don’t know.
- AA. For write-in questions, match either the size of the space to the desired length of the open-ended answer, or use labels and boxes to show the format of the desired answer (such as four boxes for a four-digit year).

## **II. QUESTION ORGANIZATION.**

- A. Make clear to respondents where to start answering questions.
- B. Do not begin with demographic questions. Begin instead with questions that do not prime respondents to answer other questions in a certain way, and that are easy, enjoyable, or interesting.
- C. Make it simple for respondents to go where you want them to go after giving each answer. For example, use arrows for skips on a paper questionnaire.
- D. Identify questions that could be subject to context effects (for example, ratings on a general subject can be affected by preceding questions that ask about specific aspects of that subject). Decide if it is important to compare the results from such a question to results from the same question asked in a different survey. If so, ask the question in the same context that it was or will be asked in the other survey.
- E. Ask sensitive questions toward the end of the survey.
- F. Try to keep questions on the same topic together.
- G. Although it is good to use the same response options for more than one question, avoid having dozens of consecutive questions with the same response options.
- H. Arrange topics so that they flow in a natural or sensible way, and have section headings for different survey topics.
- I. Decide whether one or several questions will better obtain the desired information on a concept. Remember that if each concept were measured with several questions, the survey would likely be too long.
- J. Avoid a large number of open-ended questions. Wherever appropriate, open-ended questions should be preceded by the instruction, “Please do not include personally identifiable information (PII) or operationally sensitive information.”

- K. If you include open-ended questions that are both positive and negative, ask for the positive first and then for the negatives, as shown in the examples below:
- “Is there anything in particular that you like about...?”
    - (If Yes) “What do you like about...?”
  - “Is there anything in particular that you dislike about...?”
    - (If Yes) “What do you dislike about...?”
- L. For questions where there is a socially desirable answer, consider following a general question with one that is more specific (for example, follow “Have you read any books in the past 12 months?” with “In the past four weeks, have you had a chance to start and finish a book?”).

### **III. SAMPLING AND ADMINISTRATION**

- A. New surveys should be administered to a sample of no more than 50,000 people.
- B. Recurring surveys may be administered to a sample larger than 50,000 to maintain consistency with prior administrations. However, existing census surveys should be changed to sample surveys unless the population of interest is small (for example, Army chaplains).
- C. Recurring surveys should be administered no more than once every two years unless more frequent administration is required by law, mandated by DoD or Army policy, or directed by senior DoD or Army policymakers.
- D. Multiple postal, e-mail, and/or telephone contacts with potential respondents are recommended to increase the response rate and, therefore, reduce the need for a census or a larger sample. Vary the message across these contacts. There should be only 5-8 direct communications to potential respondents. Those who may have already completed the survey should receive no more than 1 additional communication, and that additional communication should include a thank-you such as, “If you have already responded, thank you very much.”
- E. PII, data, and findings cannot reside on a personal information system (for example, a computer) unless a Privacy Act officer has deemed these to be publicly releasable.

## **APPENDIX B: REFERENCES**

1. DoDI 5200.48, "Controlled Unclassified Information," March 6, 2020.
2. DoD Instruction 1100.13, "DoD Surveys," March 31, 2017
3. DoD Instruction 8910.01, "Information Collection and Reporting," May 19, 2014
4. AR 25-98, "Information Management Control Requirements Program," February 8, 2019
5. DoDM 8910.01, Volume 1, "DoD Information Collections Manual: Procedures for DoD Internal Information Collections," June 30, 2014
6. AR 70-25, "Use of Volunteers as Subjects of Research," January 25, 1990
7. Part 219 of Title 32, Code of Federal Regulations, "Protection of Human Subjects"
8. DoD Instruction 3216.02, "Protection of Human Subjects and Adherence to Ethical Standards in DoD-Supported Research," November 8, 2011
9. DoD 5400.11-R, "Department of Defense Privacy Program," May 14, 2007
10. AR 25-22, "Army Privacy Program," December 22, 2016
11. PAM 25-403, "Guide to Recordkeeping in the Army," August 11, 2008
12. DoD Instruction 1000.30, "Reduction of Social Security Number (SSN) Use Within DoD," August 1, 2012
13. DoD Instruction 5400.16, "DoD Privacy Impact Assessment (PIA) Guidance," February 12, 2009
14. DoDI 8510.01, Risk Management Framework (RMF) for DoD Information Technology (IT), March 12, 2014
15. DODI 8582.01, Security of Unclassified DoD Information on Non-DoD Information Systems, June 6, 2012
16. AR 25-1, Army Information Technology, June 25, 2013
17. AR 25-2, Information Assurance, March 23, 2009
18. AR 360-1, The Army Public Affairs Program, October 8, 2020
19. DOD Directive 5230.09, Clearance of DoD Information for Public Release, August 22, 2008
20. AR 530-1, Operations Security, September 26, 2014
21. Acting Under Secretary of Defense (Personnel and Readiness) Memorandum, "Department of Defense Survey Burden Reduction," April 1, 2019