

INTERNAL INFORMATION COLLECTION

PACKAGE REVIEW CHECKLIST

CAPE REPORT (Cost Estimate Summary)

- Complete this before beginning the DD-2936, the CAPE generates information for the form

DD FORM 2936

- Section 4 – If no prescribing documents are listed here, ensure the package has an OPA Supporting Statement.
- Section 4.a. – If the collection is being processed with/ prescribed by a DoD Issuance, ensure the box in this section is checked and the issuance (Ex. DoDI 1234.56) is listed
- Section 5.b. – If the collection is a reinstatement, revision, or extension, ensure the RCS is listed here
- Section 5.d. – If the collection is linked with a public collection or is being cleared along with a related RCS, it should be listed here
- Section 6 – Ensure a selection has been made and the box does not read “Select One”
- Section 9 – If the collection is being cleared through the issuance process, this should be blank
 - If the cost in 10.c. is greater than \$500,000, this must be signed at the DoD or OSD Component Head level
 - If the cost in 10.c. is less than \$500,000, this must be signed at an SES level (minimum)¹
- Section 10.a. – Ensure this matches CAPE Report
- Section 10.b. – Should say FY(Current Year) (Example: FY 2021)

¹ Signature requirements

- Section 10.c.-e. – Values will be approximate and slightly different than those reported in the CAPE
- Section 11 - Ensure all required Mandatory Coordinators are marked as “Yes/Attached”
- Section 12 - This section is skipped if the collection is being cleared through the issuance process
 - Is the collection authority (Section 4) a statute, law, Executive Orders, or Sec. Def. Memorandum?
 - If Yes: you are not required to have concurrence from all respondent coordinators, but proof must be sent that they were given at least 15 working days to respond
 - If No: concurrence from all respondent coordinators must be attached
 - If the cost of the collection will cost a requester more than \$500,000 to participate in, the approver here must be an OSD or DoD Component Head
 - If the cost of the collection will cost a requester less than \$500,000 to participate in, the approver here must be at least an SES
- Section 13 – Should be completed by IMCO
 - IMCO should be only person to check the box in 13.d. for emergency collections

**OFFICE OF PEOPLE ANALYTICS
APPROVAL MEMORANDUM**

COPY OF COLLECTION INSTRUMENT

- Privacy Act Statement/ Privacy Act Advisory (if required)
 - Authorities (must have titles, not just numbered citations)

- Links to SORN(s) and PIA(s) included in the PAS
- Routine Uses match what is listed in any applicable SORNs.
- Report Control Symbol (or placeholder e.g. DD-XX-####)
- If Race & Ethnicity questions are included, please ensure that they are in compliance with Federal Guidance

MANDATORY COORDINATORS APPROVALS

- These can be a signed copy of the DD Form 2936 (multiple copies acceptable), an Approval Memo, or an email
- Ensure there are copies of approvals from all applicable mandatory coordinators and that they match what was selected on the DD Form 2936

RESPONDENT COORDINATORS APPROVALS

- These can be a signed copy of the DD Form 2936 (multiple copies acceptable), an Approval Memo, or an email
- Ensure there are copies of approvals from all applicable mandatory coordinators and that they match what was selected on the DD Form 2936
- These are not required if the collection is being cleared through the DoD Issuance process
- If the collection is mandated by a statute, laws, Executive Orders, and Sec. Def. Memorandum and you don't receive concurrence, you should provide proof that you reached out and waited at least 15 working days for a response

SUPPORTING DOCUMENTATION (as applicable)

- **OPA SUPPORTING STATEMENT** *(always required)*
- **PRIVACY** *(always required)*

- Privacy Act Statement (PAS)/Privacy Act Advisory (PAA)
 - System of Records Notice (SORN)
 - SSN Justification Memo
 - Privacy Impact Assessment (PIA)
- **RECORDS** (*always required*)
 - Records disposition and retention
 - HUMAN RESEARCH PROTECTION PROGRAM
 - Required when conducting human research