Information Collection Request Process and Procedures

A Mandatory Reference for ADS Chapter 508

Information Collection Request
Process and Procedures

---

1.   INTRODUCTION

Effective date: 08/31/2007

This document defines the process and procedures for conducting and filing information collection requests. The process is identical for information collections that contain personally identifiable information (PII), and for those that do not contain PII.

2.   INFORMATION COLLECTION REQUESTS

Effective date: 08/31/2007

Information collection requests (ICRs) are subject to the Paperwork Reduction Act, which seeks to

1. Reduce the burden of Federal paperwork on the public;

2. Ensure the greatest possible public benefit from information collections;

3. Improve service delivery to the public;

4. Minimize information related costs to the government; and

5. Ensure that information handled by the Federal Government complies with privacy, confidentiality, security, and other public laws.

Information collections are also subject to the Privacy Act when information collections contain PII. Additionally, if the information collection includes PII records maintained by USAID, (e.g., name, address, phone number, social security number, education, and employment records), then these records constitute a *system of records*.

USAID staff may conduct information collections via mechanisms such as the following:

- Web sites;

- Electronic questionnaires and surveys; and

- Paper-based forms, questionnaires, or surveys.

Regardless of the form or format, 'information collection' refers to obtaining, soliciting, or requiring the disclosure of facts or opinions to third parties or the public. Third parties may be

- Groups outside of USAID, such as professional organizations; or

- Groups within USAID, such as other Bureaus/Independent Offices or Missions that also have a need for the information collected.

The collection may be conducted by USAID or by a contracted organization on behalf of USAID.

'Public' collections include requests for responses from ten or more individuals other than Federal employees or agencies, which will be used for general statistical purposes. Contractors working for USAID are not considered Federal employees. They represent "the public" in numbers of ten or more. This means that if more than ten institutional or personal contractors respond to the information request, the information is considered 'public' and the collection is subject to the Paperwork Reduction Act. This usage does not include collection of information in connection with a criminal investigation or prosecution.

2.1   Planning the Information Collection
Effective date: 08/31/2007

The Paperwork Reduction Act is very specific about what constitutes an information collection request. USAID staff and contractors who assist in planning information collection activities must also be very specific about the following:

- What information they collect,

- From whom they collect information,

- How they collect it,

- Why it is collected, and

- With whom the collected information is shared.

System Owners who are planning an information collection must be prepared to wait a minimum of 120 days before the Office of Management and Budget (OMB) approves the collection and the actual collection is permitted to proceed.

If the answer to any of the following questions about your information collection is *YES,* then the System Owner must file an **OMB 83-I form.**

- Are the responses collected from ten or more people other than Federal employees for general statistical purposes? (This applies to both intranet and Internet collections.)

- Is collected information disclosed to the public or shared with a third party?

- Does the collection request personally identifiable information?

- Are responses mandatory or required to obtain a benefit?

Consulting with Privacy Office Staff during the Privacy Impact Assessment process may be useful in planning alternate approaches for a Web site or information collection to achieve the desired outcome without the need for an ICR. Contact the Privacy Office at **privacy@usaid.gov** with your questions.

ICRs must inform each participating individual to supply information, either on the collection form or on a separate form, that can be retained by the individual, of the following:
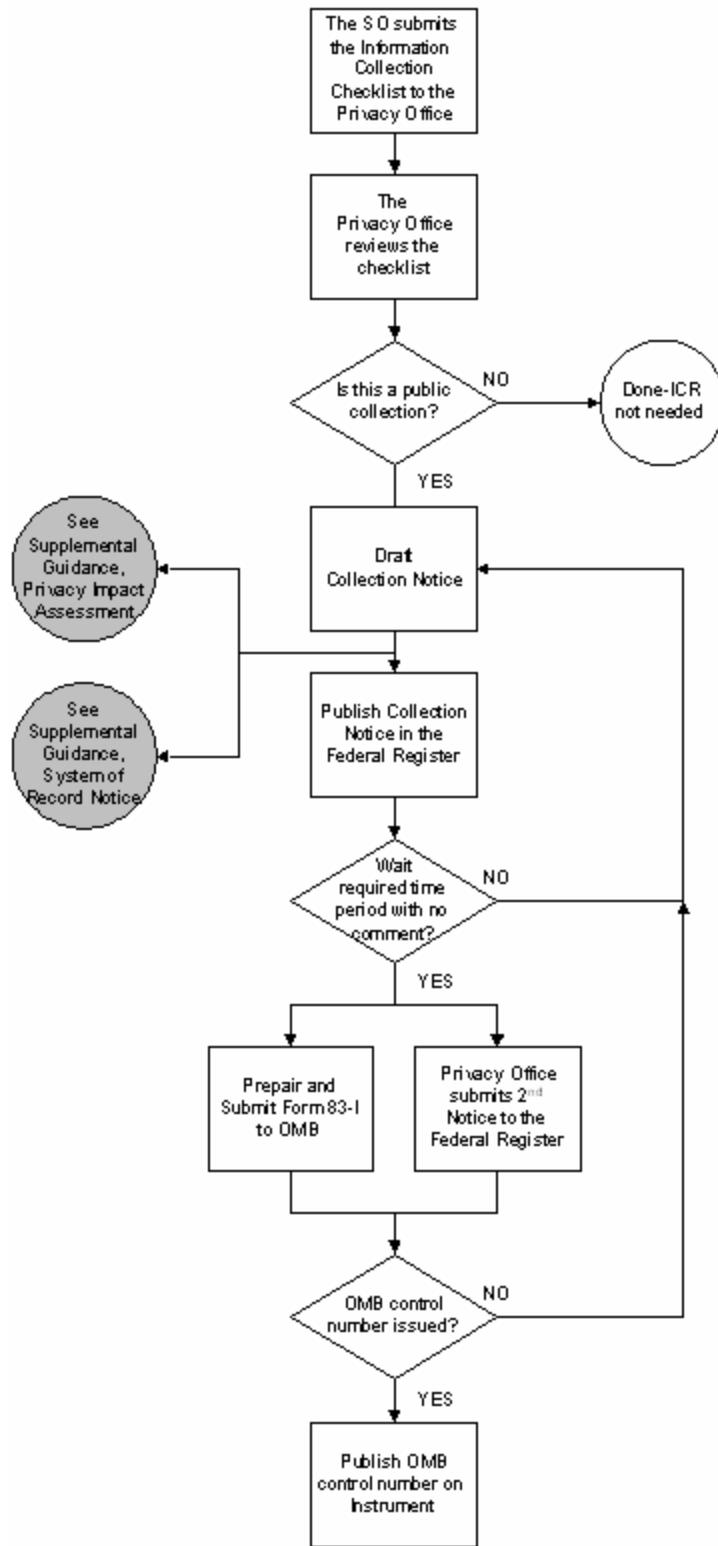
1. The authority (whether granted by statute, or by Executive Order of the President) authorizing the information request and whether providing such information is mandatory or voluntary on the individual's part;

2. The intended use of the collected information;

3. A description of the routine uses for the information, which includes the categories of users and the purpose of such use; and

4. The effects on the individual, if any, of not providing all or any part of the requested information.

2.2   The ICR Process
Effective date: 08/31/2007

Figure 2.2, *The ICR Process,* graphically depicts the mandatory steps in the preparation and completion of an Information Collection Request (ICR).

Figure 2.2
The Information Collection Request (ICR) Process

The S O submits the Information Collection Checklist to the Privacy Office

The Privacy Office reviews the checklist

Is this a public collection? — NO → Done-ICR not needed

YES

See Supplemental Guidance, Privacy Impact Assessment

Drat Collection Notice

See Supplemental Guidance, System of Record Notice

Publish Collection Notice in the Federal Register

Wait required time period with no comment? — NO →

YES

Prepair and Submit Form 83-I to OMB

Privacy Office submits 2nd Notice to the Federal Register

OMB control number issued? — NO →

YES

Publish OMB control number on Instrument

Step 1:   The System Owner completes and submits the Information Collection Checklist to the Privacy Office.

Step 2:   The Privacy Office reviews the Checklist to determine if 1) the system contains PII, 2) the system is an information collection request containing PII, and 3) the system is a system of record and requires a system of record notice (SORN) to be filed with the Federal Register. Each of the decision diamonds in Figure 2.2 indicate possible progression to separate, but related processes. Separate processes are indicated by a grayed-out circle that contains the name of the supplementary guidance that describes the processes in detail.

Step 3:   If the Information Collection Checklist indicates that the system contains PII, the System Owner must conduct a full Privacy Impact Assessment (PIA).

Step 4:   If the Information Collection Checklist indicates that the system collects information from the public, the System Owner must draft an Information Collection Request (ICR) Notice. This may be done concurrently with completing the PIA. The PIA process is a separate process, indicated by a grayed-out ellipse, which has an independent process covered in **PIA Process and Procedures**.

Step 5:   The System Owner submits the ICR Notice to the Privacy Office for review and coordination.

Step 6:   The Privacy Office submits the ICR Notice to the Federal Register for public comment.

Step 7:   The System Owner must wait 60 days for public comments. If substantive comments are submitted at any time within the 60-day period, the System Owner must address the comment(s) and amend the ICR as a new ICR Notice and re-submit the amended Notice to the Privacy Office for re-posting in the Federal Register. When the Privacy Office re-submits the ICR Notice, the 60-day waiting period for public comment begins again.

Step 8:   If no substantive comments are received within the 60-day public comment period, the System Owner assists the Privacy Office in completing the OMB **83-I Form**.

Step 9:   The Privacy Office concurrently submits the **83-I Form** to OMB and a second Notice to the Federal Register stating USAID's intention to apply for OMB approval for an ICR.

Step 10: The System Owner must wait 60 days for OMB's decision and 30 days for the Federal Register notice posting. These waiting periods can occur concurrently.

Step 11: OMB either issues an ICR control number or denies the ICR altogether. If OMB issues the control number, this number must be prominently displayed on the collection instrument. The information collection is now permitted to proceed.

2.3 Tracking the Progress of Your ICR

Effective date: 08/31/2007

http://www.reginfo.gov/public/do/PRAMain - This listing includes all information collections from the public for which a Federal agency has received prior approval from OMB, as required by the Paperwork Reduction Act (updated daily).

You can check the status of your ICR for the following categories:

- Currently In Inventory

- Currently Under Review

- Reviews Completed in the Last 30 Days

- Recently Expired ICRs

OMB will review the details of the information collection and issue a control number upon approval. This control number must be displayed as part of the collection request. If the information collection contains PII that is not covered by an exemption, the System Owner must publish a *system of records notice* (SORN) in the Federal Register. This Notice must remain published for 30 days to permit public comment on the system before the system is either approved or disapproved.

508mab_083107_w092607_cd49