

CECW-P

Regulation
No. 1165-2-503

31 October 2007

Resources Policies and Authorities
OFFICE OF MANAGEMENT AND BUDGET CLEARANCE FOR *THE QUESTIONNAIRES
FOR U.S. ARMY ENGINEER CIVIL WORKS STUDIES AND PROJECTS*

1. Purpose. The purpose of this regulation is to establish instructions on clearance for *the Questionnaires for U.S. Army Engineer Civil Works Studies and Projects* (OMB Control Number 0710-0001) and to provide guidance on the development and use of the questionnaires under this approval.

2. Applicability. This Regulation applies to all Headquarters, U.S. Army Corps of Engineers (HQUSACE) elements, Major Subordinate Commands (MSC), Field Operating Activities (FOA), Labs and District Commands having Civil Works responsibilities.

3. References.

- a. Paperwork Reduction Act of 1995 (as amended), 44 U.S.C. 3501 et seq.
- b. E-Government Act of 2002, 44 U.S.C. 101 note.
- c. Paperwork Reduction Act Regulations, Office of Management and Budget, 5 CFR, Part 1320 (2006).
- d. Army Management Information Control System, AR 335-15 (1986).
- e. USACE Supplement 1 to AR 335-15 (1990).
- f. *Guidance on Agency Survey and Statistical Information Collections*, Office of Management and Budget, Memo, January 20, 2006.

4. Background and Policy.

a. The Paperwork Reduction Act of 1995 (reference 3a) gives the director of the Office of Management and Budget (OMB) responsibility for improving the usefulness of information collected, maintained, and disseminated by the Federal Government and for reducing the reporting burden on the public. Pursuant to the Act, Federal agencies intending to collect information from the public must submit an information collection request to OMB and receive approval prior to collecting data. Guidance for U.S. Army

31 Oct 07

Corps of Engineers (USACE) requests for collecting data from the public is established in the Army Management Information Control System, and USACE Supplement, references 3d and 3e.

b. OMB approval is required for any set of identical questions asked by the USACE of 10 or more respondents outside the Federal Government pursuant to reference 3e. Questions in the form of surveys or questionnaires administered by mail, telephone, personal interview, focus groups, internet surveys and other approaches are all covered by the OMB regulations. No survey may be conducted until final approval is received from OMB. This requirement also applies to contractors and local sponsors conducting public surveys in support of Corps Studies.

c. On a triennial basis, USACE submits an information collection request (ICR) to OMB (per reference 3e) for a wide range of planning, natural resources management (operations) and other questionnaires needed to fulfill the Civil Works mission. OMB has granted clearance (OMB Control Number 0710-0001) for the submitted questionnaires when used in accordance with the procedures outlined in this regulation. A list of approved questionnaires is provided, in the Compendium of approved questionnaires, on the USACE "OMB Approved Surveys" website: <http://www.usace.army.mil/cw/cecw-cp/library/planlib.html> The website also includes additional details of the OMB approval, in the Terms of Clearance, along with points of contact and other resources. This clearance process has greatly streamlined USACE ICRs for Civil Works.

d. Questions or topics not included in the Compendium of OMB approved questionnaires (OMB Control Number 0710-0001) will require a separate, new ICR to OMB, which will result in a lengthy and involved approval process, described in reference 3e. New Civil Works ICRs to OMB must be coordinated with one of the HQUSACE points of contact identified on the USACE "OMB Approved Surveys" website, referenced in paragraph 3c above, and with the Directorate of Corporate Information.

5. Use of OMB Approved Questionnaires. Questionnaires are to be used in accordance with the following guidance:

a. The MSC commander shall designate one point of contact to review all Planning survey submittals and one point of contact to review all Operations survey submittals. Survey submittals from other Civil Works elements must be coordinated through either of these points of contact.

b. The MSC office must review the individual questionnaire and survey approach before submittal to OMB and before district use. MSC quality control and review will be based upon the need for the questionnaire (including an assessment of why data are not available from existing sources) and the reasonableness and adequacy of:

- 1) The research questions to be answered;
- 2) The sampling strategy to be employed;
- 3) The data collection procedures being employed, including follow-up procedures;
- 4) The data analysis plan; and
- 5) The consistency with OMB-approved questionnaires.

c. No survey may be conducted until final approval is received from OMB. Each survey must be submitted to the Corporate Information Directorate (CECI), the Office of The Secretary of Defense (OSD), and OMB, to the points of contact listed on the “OMB Approved Surveys” website, identified in paragraph 4c above. The submittal must contain a one to two paragraph narrative, which explains the following:

- 1) The purpose of the survey;
- 2) Where and when the survey is to be conducted;
- 3) A statement about the population to be surveyed;
- 4) The approximate sample size;
- 5) The sample selection methodology; and
- 6) Direct references to the corresponding surveys and question numbers in *Questionnaires for U.S. Army Engineer Civil Works Studies and Projects* posted on the “OMB Approved Surveys” website.

d. The MSC will submit survey applications by email directly to the points of contact at the Office of The Secretary of Defense, the Office of Management and Budget and the CECI Management Information Control Officer (MICO) . The MICO will assess all survey submittals for privacy concerns, e.g. conduct an OMB required Privacy Impact Assessment (PIA), prior to initiation of any survey. For information purposes, copies of each questionnaire will also be sent to the additional appropriate individuals at Headquarters and Institute of Water Resources (IWR). These points of contact are listed on the “OMB Approved Surveys” website identified in paragraph 4c above.

e. OMB will review the survey application within 10 business days of the request (as specified in the Terms of Clearance). In cases where a survey request is not approved, or if a response is not received within 10 business days, the MSC should notify the appropriate HQUSACE point of contact to coordinate issue resolution.

6. Questionnaire Design, Administration, and Analysis.

a. Questionnaire construction and administration must follow professional practices of design and data collection. (See also reference 3f for additional considerations specific to data collection by Federal agencies). Questionnaires and surveys will be designed to reduce the public burden by being directed to the appropriate persons and by keeping them short, whenever possible. All data collection requests must be reviewed for quality prior to their submittal to OMB by the MSC. Assistance with survey administration and design can be provided by IWR, the Engineering Research and Development Center (ERDC), and the Planning Centers of Expertise, as well as sources outside USACE.

31 Oct 07

b. If necessary, a user may extract combinations of questions from one or more of the approved questionnaires as applicable to the area and problem being evaluated. Only questions included in the *Questionnaires for U.S. Army Engineer Civil Works Studies and Projects* may be asked; however, wording changes in question items are permissible to more appropriately reflect the specific context of the survey. In cases where wording changes or the addition or omission of questions is required to meet the specific questionnaire objectives, the MSC point of contact is expected to determine consistency with OMB-approved questionnaires. Because all of the generic questionnaires have been pre-approved by OMB, OMB is primarily interested in reviewing the purpose of the survey, the sampling methodology and any changes to the generic questionnaires. Keeping such changes to a minimum will expedite final approval.

c. Questionnaires included in the Compendium of OMB approved questionnaires (OMB Control Number 0710-0001) are generally not intended for collection of personally identifiable information (PII). Any cases where collection of PII is deemed necessary must be coordinated with CECI/MICO prior to submittal to OSD and OMB. CECI/MICO will assist the MSC in assessing and documenting the need for the collection of the PII (including appropriate Privacy Statement and Systems of Records Notice (SORN)) and in developing a clear strategy for how the PII will be managed, protected and reported should there be a loss, compromise, or unauthorized access to PII, under prevailing law and regulations.

d. All respondents must be informed, either in the verbal instructions to the questionnaire or the accompanying cover letter, of the purpose of the questionnaire, of the fact that their replies are voluntary, and of the level of confidentiality of the information. Respondents must be informed that the Federally-sponsored public surveys require a currently valid OMB control number.

e. The valid OMB number (OMB No. 0710-0001) and the associated expiration date (specified in the Terms of Clearance) must be placed on the cover sheet of each questionnaire. Respondents to interviewer-administered questionnaires must be informed of the OMB control number. Respondents must also be informed that an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

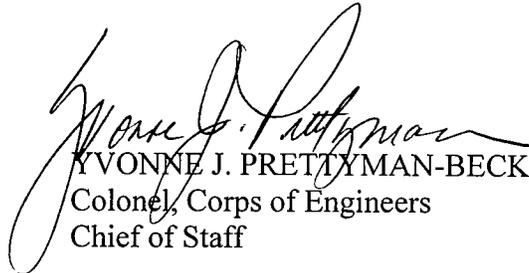
f. When interpreting results of the surveys, care must be taken in extrapolating those results from the sample to a larger population. This should be done only to the extent that a statistically valid representative sample has been obtained. This is particularly relevant for customer satisfaction surveys, which are generally designed to identify potential problems and provide qualitative guidance on ways to improve customer service.

31 Oct 07

7. Reporting Requirements. Each MSC must submit an annual Fiscal Year report to the appropriate Headquarters point of contact by 1 November each year. Headquarters may be required to send a copy of this report to OMB, upon request. This report must contain the following information:

- a. The number of surveys conducted in the preceding Fiscal Year in the MSC;
- b. For each survey conducted, the purpose of the survey, location of the survey, the number of respondents, and the number of burden hours used (burden hours are computed by multiplying the number of respondents by the average length of time to answer the survey); and
- c. An estimate of the burden hours expected in the current Fiscal Year.

FOR THE COMMANDER:



YVONNE J. PRETTYMAN-BECK
Colonel, Corps of Engineers
Chief of Staff