DEPARTMENT OF THE NAVY
HEADQUARTERS UNITED STATES MARINE CORPS
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ARDB
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MARINE CORPS ORDER 5214.2F

From: Commandant of the Marine Corps
To: Distribution List

Subj: MARINE CORPS INFORMATION REQUIREMENTS (REPORTS) MANAGEMENT PROGRAM

Ref: (a) Title 41, Code of Federal Regulations, Parts 102-193, "Federal Management Regulations"
(b) The Paperwork Reduction Act of 1995, USC Title 44, Chapter 35
(c) SECNAVINST 5210.16
(d) SECNAV M-5214.1
(e) SECNAV M-5210.1 (SSIC 5214.1)
(f) SECNAV M-5210.2
(g) MCO 5215.1K
(h) MCO 5213.8

Encl: (1) Marine Corps Information Requirements (Reports) Management Program Procedural Guidance

Reports Required:
I. Periodic Review of Approved Reports (Reports Control Symbol DN-5214-01), par. 5.a.(2)
II. Request for Approval of a Marine Corps Reporting Requirement (NAVMC 11216) (Report Control Symbol DN-5214-02), encl (1), chap. 3, par. 2.a.
III. Summary for Estimates of Reporting Hours (NAVMC 11217) (Report Control Symbol EXEMPT) encl (1), chap. 8, par. 1.b.

1. Situation. To update procedural guidance for the management and control of Information Requirements (Reports) in the Marine Corps per references (a) through (h).

2. Cancellation. MCO 5214.2E and NAVMC DIR 5214.2E.

3. Mission. This Order provides policy and procedures for the Marine Corps Information Requirements (Reports) Management Program.

4. Execution

a. Commander's Intent. The Marine Corps Information Requirements (Reports) Management Program is implemented to provide policy and procedures for report sponsors on developing the necessary documentation to obtain approval for establishment, revision or cancellation of information requirements. This program shall:

(1) Identify the information needs of managers at every organizational level.

(2) Collect, transmit, process, and store information through the most economical and efficient use of personnel, funds, and equipment.

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(3) Challenge reporting requirements if considered unnecessary or duplicative of existing reports and eliminate reports that are not cost-effective through control, standardization, and consolidation.

(4) Ensure that reports are not imposed unless the expected value of the information is worth the imposition of the burden.

(5) Coordinate reports management with related information resources management programs (forms, records, privacy, and information systems).

(6) Encourage the practice of requesting only information that is not available from other sources.

(7) Subject reports and reporting systems to a continuous, objective review for quality and economy of reporting.

(8) Minimize the reporting burden on the operating forces and field activities by eliminating or reducing the frequency of reporting requirements, simplifying report submission, or canceling information reporting requirements that are no longer needed.

(9) Enable major Marine Corps field activities and Headquarters Marine Corps (HQMC) staff agencies to institute a reports management program that establishes a continuing and critical review of reporting requirements.

(10) Ensure that managers at all levels limit levying reporting requirements to information essential to mission accomplishment.

(11) Indicate the licensing of a reporting requirement by either assigning a Report Control Symbol (RCS) or citing the authority that exempts the report from symbolization.

(12) Initially authorize reporting requirements for no longer than 3 years from the date of the implementing directive.

(13) Make certain that Marine Corps field activities and HQMC staff agencies are not required to respond to unlicensed or expired reports.

b. Concept of Operations. This program is to ensure management control and decision-making needs are met and that the information requirements imposed are fulfilled in an effective, efficient, and economical manner.

(1) HQMC staff agencies and supporting establishment report sponsors shall:

(a) Levy reporting requirements on field activities in support of the policy and objectives outlined in this Order.

(b) Support each recurring reporting requirement by a Marine Corps directive.

(c) Refer to the Commandant of the Marine Corps (CMC) (ARDB) any reporting requirement levied upon HQMC by higher authority or by an activity external to the Marine Corps (whether or not such reporting requirements require implementation within the Marine Corps Directives System). The purpose of a reports management review is to include its requirement in the Marine Corps reports management inventory, assignment of an RCS or determination of its exempt status.

(d) Ensure the Commanders of Marine Corps Forces have an opportunity to comment on proposed recurring reporting requirements levied on the operating forces.

(2) Commanding Generals/Commanding Officers (to the level of MARFORCOMs, MEFs, MARDIVs, MCIs, MAWs, and MLGs) are responsible for the establishment and execution of an Information Requirements (Reports) Management Program within their respective commands, and as such will:

(a) Establish an Information Requirements (Reports) Management Program in support of the objectives outlined in this Order.

(b) Designate a reports manager to administer the Information Requirements (Reports) Management Program.

(c) Promptly challenge any reporting requirement not identified by an RCS (unless specifically exempt from reports control under the provisions of this Order) levied by any HQMC staff agency or supporting establishment. Notify the office requiring such report, with a copy to the CMC (ARDB).

(d) Submit recommendations for improvement in the Marine Corps Information Requirements (Reports) Management Program to the CMC (ARDB).

5. Administration and Logistics

a. Commandant of the Marine Corps. CMC (ARDB) is the focal point for all matters relating to the management and control of the Marine Corps Information Requirements (Reports) Management Program and as such shall:

(1) Develop and publish changes to policy and procedures to ensure the effective management and control of reporting requirements.

(2) Direct, coordinate, and conduct selective reviews of Marine Corps-wide reports and reports management programs and validation of reporting requirements levied on the field activities at least every 3 years. RCS DN-5214-01 is assigned to this reporting requirement.

(3) Provide guidance and technical assistance to report managers and report sponsors on all matters concerning the reports program.

(4) Prepare the Information Collection Budget for public reports, and forward requests for new or extended requirements to the appropriate office.

(5) Analyze and approve new and revised reports levied on field activities by HQMC staff agencies and supporting establishment. Ensure approved reports are explained in the Marine Corps Directives System.

(6) Assign an RCS for those reports levied on field activities by HQMC staff agencies and supporting establishment.

(7) Update the Reports Management website listing valid and canceled reports at https://portal.mceits.usmc.mil/sites/hqmcar/ard/ardb/reports/default.aspx. This website is available to authorized users only.

(8) Maintain a current reports inventory and documentation file.

b. Records Disposition. When a report is discontinued, report program managers and sponsors will place it in an inactive file, and destroy it 2 years after the report is superseded, cancelled or discontinued per reference (e).

c. Forms. NAVMC 11216 (1-92), Request for Approval of Marine Corps Reporting Requirements, NAVMC 11217 (5-97), Summary for Estimates of Reporting Hours, NAVMC HQ 940(03/06) Reports Evaluation Checklist, and OMB 83-I (10/95) Paperwork Reduction Act Submission are in the Marine Corps Electronics Forms System (MCEFS) located at

http://192.156.19.102/ar/mcefs.nsf/welcome?opennavigator and https://portal.mceits.usmc.mil/sites/hqmcar/ard/ardb/reports/default.aspx. This website is available to authorized users only. SD 455 (Sep 1999), Request for Approval of Information Collection is located at www.dtic.mil/whs/directives/infomgt/forms/eforms/sd0455.pdf.

6. Command and Signal

a. Command. This Order is applicable to the Marine Corps Total Force.

b. Signal. This Order is effective the date signed.

A. A. WASHINGTON
By direction

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TABLE OF CONTENTS

IDENTIFICATION	TITLE	PAGE
Chapter 1	MARINE CORPS INFORMATION REQUIREMENTS (REPORTS) MANAGEMENT PROGRAM DEFINITIONS	1-1
Chapter 2	GUIDE FOR ESTABLISHING AN INFORMATION REQUIREMENTS (REPORTS) MANAGEMENT PROGRAM AND DOCUMENTATION PROCEDURES REQUIRED OF REPORT SPONSORS	2-1
1.	Reports Management Functions	2-1
2.	Program Development	2-1
3.	Program Implementation	2-2
4.	Program Review	2-2
Chapter 3	REPORTS CONTROL	
1.	General	3-1
2.	Reports Approval Request	3-1
3.	Coordination of Information Requirements	3-1
4.	Reports Review	3-1
5.	Reports Approval	3-1
6.	Report Control Symbol	3-2
7.	Reports Records	3-2
8.	Reports Cancellation	3-3
Chapter 4	REPORTS INVENTORY	
1.	Purpose	4-1
2.	Inventory	4-1
3.	Review of Organization's Directives	4-1
Chapter 5	REPORTS ANALYSIS AND DESIGN	
1.	General	5-1
2.	Reports Analysis	5-1
3.	Reports Design	5-2
4.	Documentation of Reporting Requirements within a Directive	5-3
Chapter 6	REPORTS VALIDATION	
1.	Purpose	6-1
2.	Triennial Review Procedures	6-1
Chapter 7	PUBLIC AND INTERAGENCY REPORTING	
1.	Public Reports	7-1
2.	Interagency Reports	7-2
Chapter 8	GUIDE TO ESTIMATING REPORTING COSTS	
1.	Introduction	8-1
2.	Reports Cost Categories	8-1
3.	Basic Reports Costing Requirements	8-3
4.	Independent Reports	8-5

Chapter 1

MARINE CORPS INFORMATION REQUIREMENTS(REPORTS)MANAGEMENT PROGRAM DEFINITIONS

1. AS REQUIRED REPORT. Information collected, stored, retrieved, and submitted when requested.

2. BURDEN. The time, effort, or financial resources expended by persons to provide information to a Federal Agency.

3. BUSINESS TRUST. A trust created for the primary purpose of operating or engaging in a business. It must have a business purpose and actually function as a business.

4. CONTROLLED REPORT. A report that has undergone a review and approval process and that has been assigned a Reports Control Symbol (RCS).

5. COST. The expenditure of man-hours, materials, equipment, and other resources used in reporting. Includes developmental, operational, and user costs.

6. COST/BENEFIT ANALYSIS. A process for determining reporting costs and benefits which can be expressed either quantitatively (in dollars) or qualitatively (in terms of effectiveness).

7. COST, DIRECT. Any cost that is specifically linked to the production, processing, maintenance, and use of a particular report.

8. COST, INDIRECT. Any cost incurred for joint operations that cannot be identified with a single report. Includes overhead and other fixed costs of resources.

9. DATA. A representation of facts, concepts, or instructions in a formalized manner suitable for communication, interpretation, or processing by human or automatic means.

10. DOCUMENTATION. The documents or records containing information on the organization, functions, policies, decisions, procedures, and essential transactions of the command's reports management activities.

11. EXEMPT REPORT. Report that is not subject to documentation and symbolization procedures.

12. EXTERNAL REPORT. Any report that is required by an agency or organization other than the responding agency and that is outside the control of the responding agency (congressional, judicial, executive, Office of Management and Budget (OMB), private sector, state or local governments).

13. FEEDER REPORT. A report that provides part or all of the data needed to prepare another report.

14. GENERAL PURPOSE STATISTICS. Statistics collected chiefly for public and general government use, without primary reference to policy or program operations of the agency collecting the information.

15. INFORMATION COLLECTION (REPORT). Obtaining or soliciting facts or opinions by written report forms, application forms, schedules, questionnaires, reporting or recordkeeping requirements, or other similar methods. Similar methods may include contracts, agreements, policy statements, plans, rules or regulations, planning requirements, directives, requests for proposal or other procurement requirements, interview guides, disclosure requirements, labeling requirements, telegraphic or telephonic

requests, and standard questionnaires used to monitor compliance with command requirements.

16. INFORMATION COLLECTION REQUEST. A written report form, application form, schedule, questionnaire, reporting or recordkeeping requirement, or other similar method calling for the collection of information.

17. INFORMATION REQUIREMENT. The functional area expression of need for data or information to carry out specified and authorized functions or management purposes that require the establishment or maintenance of forms or formats, or reporting or recordkeeping systems, whether manual or automated.

18. INTERAGENCY REPORT. An interagency information reporting requirement is data or information which is transmitted between or among Federal agencies for use in determining policy; planning, controlling, and evaluating operations and performance; making administrative determinations; or preparing other reports. The data or information may be narrative, statistical, graphic, or other form and may be displayed on paper, magnetic tape/disk, electronic format, or other media.

19. INTERNAL REPORT. Any report required, prepared, and used within one organizational structure for its own use.

20. LICENSED REPORT. A report that has been justified by the originator, reviewed and approved by a reports control manager, and assigned an RCS or an exemption authority.

21. ONE-TIME (OT) REPORT. A report prepared only once. An OT report will be assigned an RCS Standard Subject Identification (SSIC) Code using "OT" as a suffix.

22. OPERATING DOCUMENT. A completed form or other document used to facilitate, accomplish, or provide a description or record of a transaction, function, or event. The information in an operating document may provide data (or input) for a report, but that is not its primary purpose. Examples are application forms, purchase orders, bills of lading, personnel actions, payrolls and timesheets, and inspection or audit reports.

23. PREPARING ACTIVITY. The activity or organization that compiles, processes, reproduces, and submits all or part of the required report data, or any summary or extract of that information.

24. PROGRAM EVALUATION. An appraisal of the efficiency and effectiveness of the reports management program. Aims at improvement through comparison of existing practices with alternative methods and techniques. Results in an evaluation report that includes findings, recommendations, and an action plan for correcting deficient areas.

25. PUBLIC BURDEN. The total time, effort, or financial resources required to respond to a collection of information, including to read or hear instructions; to develop, modify, construct, or assemble any materials or equipment; to conduct tests, inspections, polls, observations, or the like necessary to obtain the information; to organize the information into the requested format; to review its accuracy and the appropriateness of its manner of presentation; and to maintain, disclose, or report the information.

26. PUBLIC INFORMATION COLLECTION REPORT. A report which requires responses from members of the public. Members of the public are listed in chapter 7, paragraph 1.b.

27. RECURRING OR PERIODIC REPORT. A report that provides essentially the

same type of information at prescribed regular intervals (daily, weekly, monthly, annually, etc.).

28. REPORT. Data or specific information transmitted for use in determining policy; planning, controlling and evaluating operations and performance; making administrative determination; or preparing other reports. The data or information may be in narrative, statistical, graphics, or other form and may be displayed on paper, magnetic tape/disk, electronic format, or other media.

29. REPORTS ANALYSIS. A management technique that determines the essentiality and effectiveness of a report and that is based on all reports evaluation factors.

30. REPORT CONTROL SYMBOL (RCS). An organizational abbreviation combined with an SSIC (reference (f)) and a numeric suffix which indicates that the report has been reviewed and approved by a reports control office.

31. REPORTS CONTROL SYSTEM. An administrative system for maintaining surveillance over the initiation, revision, and discontinuance of reports.

32. REPORTS MANAGEMENT. The planning, controlling, directing, organizing, training, promoting, and other managerial activities involved in the creation, processing, and use of reports.

33. REPORTS MANAGEMENT OFFICE. An organizational unit that has been officially assigned the responsibility for reports management.

34. REPORTS MANAGEMENT PROGRAM. A formally established activity function authorized and designed to fulfill reports management objectives.

35. REPORTS PROGRAM MANAGER. An individual assigned the responsibility for reports management at the local level. The manager also maintains liaison with the Marine Corps Reports Program Manager.

36. REPORTS SPONSOR. The originator of a reporting requirement who has the responsibility for justification of the report to the reports program manager for issuance of a license or an exemption.

37. REQUIRING ACTIVITY (OR ORGANIZATION). The activity or organization that imposes a report or an information requirement.

38. RESPONDENT/RESPONDING ACTIVITY. An individual, activity or organization required to respond to a report or an information requirement.

39. REVISED REPORT. An established report that is changed in anyway; such as format, content, definition, instruction, reporting procedures, preparing organization, frequency, scheduling, or routing. Revised reports must be cleared by the reports manager and a change/revision must be issued to the directive that established the report or information requirements.

40. SURVEY OR PERSONAL SURVEY. An organized effort to obtain information from persons about themselves, their attitudes, perceptions, beliefs, opinions, or interests where the acquisition of such information is not a normal administrative requirement internal to the command. A survey must be licensed.

41. UNAUTHORIZED/UNLICENSED REPORT. A report that has not been reviewed and approved by a reports management office and has not been assigned an RCS.

Chapter 2

GUIDE FOR ESTABLISHING AN INFORMATION REQUIREMENTS (REPORTS) MANAGEMENT PROGRAM AND DOCUMENTATION PROCEDURES REQUIRED OF REPORT SPONSORS

Reports management is needed to ensure reports and reporting systems provide necessary information effectively, efficiently, and economically. Specific types of data are needed to meet particular requirements. Reports are the major means for providing this data. Reports management encompasses the development of reports and reporting systems. As conditions or needs change, reports management must provide the control of reporting requirements to ensure minimum burden is expended and maximum effectiveness obtained.

1. Reports Management Functions

a. General. Line managers need information on how resources are being used and whether their goals and objectives are met. Reports management improves the quality and economy of reporting by providing managers with information at the right time, in the best format, and at the lowest possible cost. It also prevents the development of invalid, inefficient, or unnecessary reports.

b. Scope. This chapter will cover the following basic functions of reports management:

(1) Reports Inventory. This function identifies and compiles a record of existing reports and is a database that is updated by CMC (ARDB).

(2) Request for Approval. This function includes the necessary procedures to review, develop, revise, and cancel information reporting requirements.

(3) Reports Validation. This function involves the triennial review of information reporting requirements to reduce the administrative burden by eliminating, reducing the frequency of, or consolidating reporting requirements when practicable.

(4) Public and Interagency Reporting. Special Government-wide clearance is required for interagency and public reports. Public reports require approval by the Office of Management and Budget (OMB), and interagency reports require approval by the Department of Defense Internal Management Control Manager.

2. Program Development

a. Publication of a local directive and designation of a reports program manager should be the first steps in implementing the program. The directive should make provisions for:

(1) Information Collection needed to establish a reports inventory.

(2) Reviewing new information requirements.

(3) Assignment of RCS's per reference (f).

(4) Triennial review of information requirements.

b. The following considerations can be helpful in planning and preparing the directive:

(1) Use of a standardized form for the initial collection of inventory information. During this phase of the procedure at HQMC, use of a form is

found to be both timesaving for functional area sponsors providing the information, and of great assistance in having data in an easily usable form for preparing the inventory.

(2) Use of RCS's to indicate multiple items of information. The RCS is a three-part alphanumeric code which indicates the requiring organization, applicable SSIC, and sequence number of that particular report within the SSIC.

(3) Recommended wording for inclusion in local directives requiring information requirements. A required collection should be listed as outlined in reference (g).

(4) Exempt collections should be listed as follows:

(a) Should be listed on the first page after the "Encl" line or "Ref" line if no enclosures are listed.

(b) Should appear in the directive as "Report(s) Required: Title of the Report (Report Control Symbol EXEMPT) and identify the paragraph that requires the collection".

(c) The paragraph that cites the report should have a statement citing the exemption authority i.e. "This report is exempt from reports control under SECNAV M-5214.1, paragraph __."

This will ensure that the purpose of the report, reporting periods, due dates, reporting instructions, required receipt dates of completed reports, and submitters are uniformly presented and understood.

3. Program Implementation. Upon publication of the program directive, implementation of the program should include:

a. Collection of data necessary for, and preparation of, the information requirements inventory which should include at least the originator's RCS, report title, requiring directive, and frequency.

b. Procedures for conducting a technical analysis to ensure that only those reports necessary to effectively and efficiently carry out Marine Corps mission are introduced into the Marine Corps.

c. Review of existing and assignment of RCS's to information requirements ensuring no duplication, overlap, etc., in content.

4. Program Review

a. Reviews are required to ensure that the objectives of the program continue to be met, and should include considerations of:

(1) The frequency with which reviews are scheduled is triennially.

(2) The updating of estimated costs, with emphasis on man-hours expended.

b. The following considerations can be helpful in planning and implementing the review phase of the program:

(1) Use of a standardized report format for reviews, designed so that information requirements sponsors can respond in blank spaces on the format itself. This can minimize the amount of additional administrative burden created by the review.

(2) Conducting the triennial review at approximately the same time the

CMC (ARDB) conducts reviews. Since the HQMC review includes solicitation of information from field commands, this could eliminate the burden of having to respond at different times to both HQMC and local review.

Chapter 3

REPORTS CONTROL

1. General. Reports control provides the necessary procedures to review, develop, revise, and cancel information reporting requirements. Procedures consist of the preparation of a reports approval request, the review and approval or disapproval of the report by the reports manager, the assignment of an RCS to approved report, and the compilation and maintenance of reports records.

2. Reports Approval Request

a. To permit a thorough evaluation of the purpose, need, and content of an information reporting requirement, and to provide the data needed to facilitate reports control, certain basic information must be provided to the Reports Program Manager at the local level. The report sponsor shall provide this information on a Request for Approval of a Marine Corps Reporting Requirement form (NAVMC 11216)(RCS DN-5214-02). This form is located in the Marine Corps Electronic Forms System. Associated documents, such as the requiring directive, additional forms, and a copy of the proposed report, should accompany the request.

b. The reports program manager shall provide assistance to the report sponsor when requested. This assistance is most effective when provided during the initial establishment of the reporting requirement.

c. Reports shall only be approved when they comply with the procedures contained in this directive.

3. Coordination of Information Requirements. Report sponsor shall provide for coordination of the proposed report (directive containing the reporting requirement), with organizational units having an interest in the information being requested and with those that will be required to respond. Through coordination, it may be possible to eliminate or minimize the reporting burden.

4. Reports Review. After appropriate coordination, the proposed information reporting requirement will be reviewed by the Reports Program Manager at the local level for proper justification, potential duplication, and cost effectiveness. The Reports Program Manager will use the following criteria when reviewing the proposed reporting requirement:

a. A valid need exists for the information required by the proposed report.

b. The information requested is limited to data elements needed to satisfy the reports purpose.

c. The reporting frequency is consistent with the time by which the information is needed.

d. Clear and complete instructions for reporting have been developed and are contained in the implementing directive.

e. The proposed report has been coordinated with other interested organizational units.

f. The complete cost of the reporting system is provided. Refer to Chapter 8.

5. Reports Approval. The reports program manager analyzes the proposed information reporting requirement for conformance with reporting standards.

The reports program manager comments as appropriate and notifies the report sponsor of action to be taken. The report sponsor takes action as appropriate to incorporate recommendations in the implementing directive. The reports program manager will enter pertinent data on controlled reports into the authorized reports control inventory system. Proposed reports will be identified as either "controlled" or "exempt".

6. Report Control Symbol. Assignment of an RCS by the reports program manager indicates that the analysis has been accomplished, the requirement valid, and the respondents have responsibility for providing the requested information.

a. The RCS is a three-part alphanumeric code which indicates the requiring organization, the applicable SSIC as prescribed in reference (f) and the sequence number of that particular report within the SSIC. As an example of an RCS, MC-5214-04 has Marine Corps as the requiring organization, 5214 as the applicable SSIC, and 04 as the fourth report in the 5214 series.

b. Reporting requirements implemented by Marine Corps directives (levied by HQMC staff agencies and supporting establishment) will contain "MC" to indicate the requiring organization. If a reporting requirement is imposed by higher authority, the RCS will reflect the appropriate requiring agency. For example, if the Department of Defense imposed a reporting requirement, the RCS would contain "DD." Requiring agency prefixes, include but are not limited to:

CB Bureau of Census
CO Congress of the United States
OP Office of Personnel Management
DD Department of Defense
DN Department of Navy
FB Federal Bureau of Investigation
GS General Services Administration
JU Department of Justice
LA Department of Labor
MC Marine Corps
TR Department of Treasury
OM Office of Management and Budget

c. Controlled reports will be assigned an RCS and will be reviewed on a triennial basis to ensure continued validity.

d. Exempt reports will be assigned the RCS "EXEMPT" and will not require future monitoring or review by the reports program manager. The report sponsor is responsible for maintaining and validating the requirement for an exempt report. Reference (d) lists the types of information that fulfills the requirement of a "report" as contained in this directive, but which are exempt from reports control.

7. Reports Records. Reports records consist of files and catalogs needed for reports control and analysis.

a. Reports Case Files. The reports case files should contain complete historical data on each report and be maintained per reference (e). Case files contain the original documents relating to individual reports. Files that are used for analysis and for producing catalogs and management reports may be automated. A case file should be established for each report when it is begun and for existing reports identified in an inventory. Case files may be arranged sequentially by the RCS or alphabetically by the report title. A case file should contain:

(1) The original reports request approval form or an inventory form.

(2) Associated forms and instructions for completion.

(3) Correspondence, worksheets, and other documents relating to the report.

(4) A reference to, or a copy of, the implementing directive.

b. Reports Analysis Files

(1) In organizations where reports analysis is a manual operation, it is useful to establish subject classification files. These files can be used for comparing reports on the same subject or functional area, for identifying duplicative reporting requirements, and for eliminating unnecessary reports. Subject classification files assist analysts in understanding relationships between reports and reporting systems and in streamlining systems and procedures.

(2) The files contain reports request approval forms or inventory forms and are organized by broad functional categories (personnel, budget, engineering).

c. Automated Systems

(1) Where organizations have established automated systems, only reports case files may be needed for backup and historical purposes. Automated systems can generally perform many reports management tasks. They can detect duplication of reports, identify reports needing revalidation, store and update the reports inventory, produce management reports, and produce reports catalogs.

(2) Depending on the design of a particular system, the reports information may be integrated with an organization-wide database or with related subject areas, such as forms files.

d. Reports Catalogs

(1) A reports catalog is a listing of all reports required by or imposed on an organization. An up-to-date catalog should be prepared periodically and distributed to all units. Distribution via websites is authorized.

(2) The following list indicates the information that may appear in a reports catalog:

(a) RCS

(b) Report title

(c) Associated form numbers

(d) Frequency

(e) Requiring law, regulation, or directive

(f) Requiring organization

(g) Cost

8. Reports Cancellation. A reporting requirement may no longer be valid either by supersession of the requiring directive or by cancellation of the report itself. The steps involved in canceling a report are as follows:

a. Report sponsor recognizes that report is no longer needed. Notifies

the reports program manager of cancellation. Promulgates change transmittal to the requiring directive announcing cancellation of reporting requirement.

b. Reports program manager enters appropriate cancellation data in reports inventory and removes subject report.

c. Respondents cease submitting the report.

d. Closed case files shall be retained per reference (e).

Chapter 4

REPORTS INVENTORY

1. Purpose. The purpose of the reports inventory is to identify and compile a record of existing reports. The inventory will identify reports and provide basic records on which to build an effective program. CMC (ARDB) will maintain an inventory of all HQMC staff agency reports on its website.

2. Inventory

a. An inventory can be taken by reviewing the website at https://portal.mceits.usmc.mil/sites/hqmcar/ard/ardb/reports/default.aspx. This website is available to authorized users only.

b. The inventory shall reference the directive and associated forms.

c. The data collected from the inventory shall be used to compile a record of existing reports. Example:

Originator	RCS	Title	Req Dir	Frequency
ARDB	MC-5214-01	Reports Inventory	MCO 5214.2F	A

3. Review of Organization's Directives. In addition to the inventory, the organization's directives will be reviewed to identify any reporting requirements that may have been overlooked or expired.

Chapter 5

REPORTS ANALYSIS AND DESIGN

1. General

a. Reports must provide a basis for measuring performance, making decisions, creating or revising policy, or carrying out operations, and executing the mission of the organization requiring the report. The analysis and design of a report is a major reports management function. Reports analysis and design should be continuous in nature, because no organization remains static. As an organization changes, its information needs often change and so should the reports and systems that provide the information.

b. Report sponsors should consult with the organization reports program manager during formulation of reporting requirements for appropriate guidance.

2. Reports Analysis

a. Detailed Analysis. To facilitate reports analysis, the Reports Evaluation Checklist form (NAVMC HQ 940 (03/06)) located in the Marine Corps Electronics Forms System contains all the significant elements that shall be considered in analyzing reports.

(1) The analysis will determine whether the information requested is available from an existing source, if the assigned reporting frequency is reasonable, whether the format to be used is in consonance with the objectives in reference (h), and if reporting methods and procedures are timely and promote efficient and economic use of resources.

(2) Reports items must be constructed to obtain all information needed concisely, economically, and effectively. Each item must satisfy a current need. The collection of information to meet some possible future need is not justified. Each reported item of information must be used by the recipient of the report. The need for each item can be determined by analyzing the answers to the following questions:

(a) Is the information requested under the cognizance of the requiring office?

(b) Is the information requested necessary for an established objective?

(c) How is the information used?

(d) Is the information capable of misinterpretation? Could it be more simply stated?

(e) Can the information be used for purposes other than the established objective? Are there other potential users of the information?

(f) Will the requirements for negative reports serve an established objective? Negative responses should not be required unless absolutely necessary.

b. Arrangement of Report Items. Arrange report data items in logical format for easy completion by the preparing organization and for efficient use by the receiving organization. Consider the use of electronic/computer-generated reports by adhering to the guidance contained in reference (h). The forms manager will assist in developing the most effective forms design.

c. Source of Information for Report Items. Determine the organization which can furnish precise, usable information in the easiest way.

Reassignment of responsibility for preparation of reports may avoid the establishment of unnecessary or duplicate source records, unnecessary workflow, or other uneconomical processes.

d. Controlling Copy Distribution. Distribution of completed reports is based on a "need-to-act" or "need-to-know" basis. Distribution of courtesy copies is prohibited.

e. Timing Submissions. Establish minimum burden in timing and frequency of preparation. The following factors must be considered when dealing with timing:

(1) Minimum Frequency. Establish the maximum time possible between submissions.

(2) As Required Reports. Establish these reports with the understanding that information will be available and furnished on request.

(3) Situation Reports. These reports are required on occurrence of an event or situation or change in condition.

(4) Realistic Due Dates. Allow sufficient time for adequate compilation between the end of the period covered and the due date.

(5) Peakloads. Avoid conventional peakloads (last of the month, last of the quarter) by staggering report submission.

(6) Summary Reports. Avoid reports that only summarize previously submitted reports. For example, do not require an annual report that simply summarizes the information provided in prior report submissions.

f. Estimating Costs (See Chapter 8)

(1) Consider the cost of establishing new reports and in improving existing ones. Compare investment of work-hours and other costs to the value received from the report. Improved operations and effective decision making processes, in some cases, justify costly reports and reporting systems.

(2) Base estimates on the actual situation. Estimate work-hours and machine time for the approximate time spent by organization personnel to prepare and process the report. Obtain dollar costs of any machine time, printing, special equipment, or other materials from the organization completing the report.

3. Reports Design

a. Identifying Information Needs. There are two ways of approaching this task:

(1) One is to determine the information needs on a command- or activity-wide basis by identifying the needs of each level of organization from the top down. The objective is to develop an overall understanding of the organization's information needs and to construct a set of interrelated systems to meet those needs. In a large organization, this approach is generally not practical because of the time and effort involved.

(2) The other approach is to focus on the requirements of individual managers and develop systems to meet those requirements. Simultaneously, the possibilities for integrating those systems with other organization system are taken into account.

b. Personnel Involved. Identifying information needs require the involvement of persons possessing several different skills, including reports

management, form design, functional managers and users, and computer specialists when the report is automated.

(1) The reports program manager generally coordinates the collection, analysis, and synthesis of data into specific information requirements for affected organizational units.

(2) Forms designer assists in the development of the reporting format.

(3) Functional managers and users provide first-hand knowledge of the information needs and operations of their programs.

(4) Computer specialists provide the necessary expertise in the formulation of, and possible integration of, automated systems and processes.

c. Methodology for Identifying Information Needs. A systematic approach should be used to identify information needs.

(1) Listing Program Elements. The term "program" refers to the particular activity for which a manager is responsible at any organizational level. A "program element" is a function or segment of a function. Program elements constitute all the functions of a particular program.

(2) Setting Goals. A goal is a statement of the results which should be expected from a program element during a given period. The statement of expected results should be clear, succinct, and attainable. For example, a program element in a reports management program may be a reports inventory; the goal may be to complete an inventory of all reports by a certain date.

(3) Defining the Output Products. Determine the data elements to be produced and the reporting format, frequency, and distribution.

(4) Specifying the Input. Identify the source and type of input (e.g., manual form, magnetic media), the organizations responsible for preparing and submitting the input information, and the methods of control or verification.

(5) Preparing a General System Flowchart. Chart all office procedures in sequence. The data to be processed, the sources of data, the originating organizations, the means of transmission, the input media, the affected fields, the processing activities (including the equipment to be used), the output media, the output information, and the master system flowchart to indicate a proposed automated system's effect on a relationship to other automated data processing systems.

4. Documentation of Reporting Requirements within a Directive. After it has been determined exactly what the reports program management office really needs to know, whether the information can be obtained without undue effort and cost, and that a proposed reporting requirement is fully justifiable, it becomes important to develop a requiring directive and form/format that will contribute to the successful collection of the desired information. The following provides the items that shall be included in the directive:

a. Purpose of Report. The purpose should be clearly stated so that the preparing offices will understand what use is to be made of the data and be able to apply the instructions intelligently. The statement should be explicit.

b. Preparing Activities. Cite by definitive groups, or provide a complete listing of, the activities which are required to comply or submit all or part of the report. In a directive where addressees are specified as the preparing activities, a separate listing of reporting activities is not required. Specifically, state the level of command responsible for

preparation and submissions of reports when reporting requirements are contained in directives with broad distributions.

c. Recipient. State the correspondence code of the office to receive the report. If report submission is to a non-Marine Corps activity, provide instructions for the submission including detailed identification of the recipient.

d. Frequency. Indicate the frequency of submission; i.e., annually, biannually. In the event the report is to be submitted upon occurrence of an event or situation, indicate the circumstances which require preparation and submission. Provide the report cancellation date. A report will automatically cancel after the cancellation date unless continuation of the report can be justified but not to exceed 3 years.

e. Period Covered. Specify the period to be covered in the report. If data is to be reported on a specific date, provide precise instructions.

f. Due Date. Indicate the date by which the report is to be received at its prescribed destination. Due dates should take into account the distant preparing offices. Generally, the due dates should be stated using the phrase, "by not later than _____ workdays after close of the reporting period."

g. Data to be Reported. Provide a complete description of all data elements. Illustrations for compiling and setting down the information should be clear and concise.

h. Report Form

(1) Describe or illustrate the form for reporting. When a form is to be used, cite the form number, source of supply, and stock number. Whenever possible, consideration shall be given to converting manual report submission to the use of a computer-generated or electronic form; this lessens the reporting burden on the submitter.

(2) State the required number of copies.

(3) Cite the RCS clearly and visibly on the form.

Chapter 6

REPORTS VALIDATION

1. Purpose. The purpose of the reports validation is to reduce the administrative burden on respondents by eliminating, reducing the frequency of, or consolidating reporting requirements, where practicable. Reports program managers shall establish a period every three years to conduct a review of all existing reports.

2. Triennial Review Procedures

a. The reports program manager will initiate the triennial reporting requirements review process. The reports program manager will provide a listing of reports for which each report sponsor is currently responsible.

b. Report sponsor will review the reporting requirements contained in the listing provided. The review will validate the need for each reporting requirement and emphasize reducing the administrative burden. The report sponsor will annotate the listing accordingly. The report sponsor must issue a change to the implementing report directive for each reporting requirement that was canceled or revised.

c. The reports program manager will review the results of the report sponsor review and take the following action:

(1) If the requirement remains valid, no action is required.

(2) If the requirement is cancelled, the procedures for cancellation contained in chapter 3, paragraph 8 will apply.

(3) Pertinent data relating to changes will be entered into the reports inventory.

(4) The report sponsor's validation will be maintained in the applicable reports case file.

d. Recurring Reporting Requirements Checklist. Upon completion of the review, the reports program manager will update their Reports Inventory of all valid and canceled recurring reporting requirements.

Chapter 7

PUBLIC AND INTERAGENCY REPORTING

1. Public Reports

a. Purpose. Reference (b) covers the policy for collecting information from the public and have as its stated purpose:

(1) To minimize the Federal paperwork burden on the public and the cost to the Federal Government of collecting, maintaining, using, and disseminating information.

(2) To maximize the usefulness of the information.

(3) To coordinate Federal information policies and practices.

b. Coverage. OMB approval is needed to collect information from 10 or more members of the public, unless the collection is exempt (see par. 1c for exempt authority). Members of the public are individuals, partnerships, associations, corporations, business trust, legal representatives, organized groups of individuals, states, territories, or local governments. Current Federal employees are considered members of the public if the collection of information is addressed to them in their capacity as individual private citizens. Federal employees, however, are not considered members of the public when they respond to a collection of information within the scope of their employment. Retired Federal employees are considered to be members of the public. Military retirees, however are not considered to be members of the public when they are surveyed. The Secretary of Defense may conduct surveys of members of the Armed Forces serving on active duty or in active status, members of the families of such members, and retired members of the Armed Forces, but not retired members' dependents, to determine the effectiveness of existing Federal programs relating to military families and the need for new programs.

c. Exemptions. The types of information collections from the public that are exempt from OMB review are listed in reference (d), Part V, paragraph 5.

d. Procedures. Each request to collect information from 10 or more members of the public must be approved by OMB. To obtain this approval, the report sponsor must include the report in the Information Collection Budget (ICB) submitted to OMB annually. The ICB consists of all existing and new public reports (both recurring and one time) that might be established during the year.

(1) ICB Overview. The ICB is an annual allowance for each Federal agency of the total number of burden hours it may require from the public to provide it with information. It is an estimate of the time, direct and indirect, necessary for individuals, businesses, and organizations to collect, record, and submit information to the Federal Government. Federal agencies prepare ICB requests annually in response to specific direction contained in an OMB bulletin. These requests contain estimated burden hours for the information collection activities which the agencies want to conduct. Justifications are provided for collections of information. OMB authorizes a final allowance, which is the maximum number of burden hours that the agency may impose on the public for continuing and new burden items in the next fiscal year.

(2) Approval. The approval of an information collection from public sector initially involves the preparation of an Office of Management and Budget (OMB 83-I), "Request for OMB Review", package. Package will be submitted to CMC (ARDB) for review and processing. The CMC (ARDB), Marine Corps Reports Program Manager, is responsible for coordinating the ICB

process. If the report is approved, an RCS expiration date will be assigned by OMB. During this time, the proposed information collection is announced in the Federal Register for public comment and OMB keeps the ICB request open for public access and review for a period of 60 days.

(3) Clearance. The clearance request is prepared by the report sponsor with assistance from the CMC (ARDB). A clearance request has two parts.

(a) OMB 83-I. This is the official application which Marine Corps submits to the DoD Clearance Officer/DoD Internal Reports Manager for clearance for a planned information collection activity. It contains the data elements that OMB needs to evaluate the request.

(b) Supporting Statement. This is the Marine Corps statutory, regulatory, and/or programmatic justification for the information collection activity.

(4) Basic Steps in the Process

(a) Prepare the OMB 83-I request.

(b) Clear with the Marine Corps reports program management office (CMC (ARDB)) who will review and forward it for processing.

(c) Federal Register notice is published.

(d) OMB approves or disapproves.

(e) The CMC (ARDB), Marine Corps Reports Program Manager, distributes OMB notification to the report sponsor. If the report is disapproved, the information may not be collected.

2. Interagency Reports. An interagency information reporting requirement is data or information which is transmitted between or among Federal agencies for use in determining policy; planning, controlling, and evaluating operations and performance; making administrative determinations; or preparing other reports. The data or information may be narrative, statistical, graphic, or other form and may be displayed on paper, magnetic tape/disk, electronic format, or other media.

a. Scope. Interagency reports are reviewed and cleared by OSD and are subject to the provisions of reference (a). Interagency reports which are also public reports require OMB approval.

b. Exemptions

(1) Interagency reporting requirements for security classified information are exempt. However, interagency reporting requirements for unclassified information are not exempt, even if such information is later given a security classification by the requesting agency.

(2) Operating documents exchange between and among Federal agencies.

(3) Presidential requirements in Presidential directives.

(4) OMB budgetary, program review and coordination, and legislative clearance requirements.

c. Procedures

(1) For new, revised, or extended interagency reports, submit an

original of the following items to the Marine Corps Reports Program Manager (CMC (ARDB)):

(a) Completed SD 455, Request for Approval of Information Collections.

(b) Cost Estimate of the collection.

(c) The reporting requirement and any instructions pertaining to it.

(d) Any form or reporting format.

(2) If the Marine Corps Reports Program Manager concurs with the report, the items listed above will be processed. After review, the information will be forwarded to the OSD. If approved, an Interagency Report Control Number will be assigned.

(3) After final action by DOD Internal Information Management Control Manager, the SD 455 is returned through the chain of command to the Marine Corps Reports Program Manager. An approved report will contain the RCS and an expiration date. If the report is disapproved, the information may not be collected.

Chapter 8

GUIDE TO ESTIMATING REPORTING COSTS

1. Introduction

a. Reference (b) contains a provision that in the development of a reporting requirement, estimates of reporting costs must be considered and developed. It is the purpose of this guide to assure that adequate cost estimates are developed. The degree of accuracy sought in a given cost estimate may vary with the general magnitude of the reporting requirement.

b. Management needs cost estimate information to decide if the expected value of a reporting requirement is worth the cost of collecting the information. The costing methods provided in this chapter should be used to compute the cost for the preparation, use, and storage of information reporting requirements. The reports program manager shall maintain the supporting documentation and Summary for Estimates of Reporting Hours form (NAVMC 11217) (Report Control Symbol EXEMPT) for all recurring reporting requirements. This form is located in the Marine Corps Electronics Forms System. Cost information shall be updated annually or whenever a major change in the reporting requirement occurs.

2. Reports Cost Categories. There are three categories of activities associated with costing any report: developmental, operational, and user. Definitions for each of these categories are provided below as are lists of specific activities and tasks that each category encompasses. The lists are provided primarily as a guide in categorizing various reporting activities and are not meant to be all inclusive. Depending on the actual situation, all the activities and tasks shown may not apply in every instance, and in some cases additional ones may need to be included.

a. Developmental Activities. The developmental category consists of activities involving the establishment of a new report or the modification of an existing one. Developmental activities include:

(1) Specification of the reporting requirement (i.e., those tasks associated with studying the problem and planning for its resolution). Specific tasks may include:

(a) Identifying the need for certain information.

(b) Determining the objectives and scope of the reporting system which could provide the needed information.

(c) Identifying the benefits of such a system.

(d) Appraising the impact on existing and planned systems.

(2) Analysis of the Reporting Requirement. This includes the activities involved in determining the specific information items needed and how best to obtain them. Specific tasks may include:

(a) Discussing and determining which specific data should be provided.

(b) Identifying alternative methods for obtaining the data.

(c) Identifying data sources, processing requirements, and equipment.

(d) Describing inputs, reports, major functions, and limitations of each alternative.

(e) Selecting the best alternative for providing the needed information.

(3) Design of the Reporting System. This consists of activities involved in the development and documentation of the selected system. Specific tasks may include:

(a) Developing system description (specifications), including input and output documents, data collection procedures, data and document processing, files contents, interfaces with other systems, and output distribution.

(b) For automated systems, in addition to the above, developing technical system specifications (all the information needed by a programmer) and writing the computer program(s).

(4) Installation of the Reporting System. This consists of the activities involved in converting the written plan to an operational reporting system. Specific tasks may include:

(a) Testing the new system procedures.

(b) Debugging computer programs.

(c) Acquiring and installing new equipment or modifying existing equipment.

(d) Developing and issuing implementing directives.

(e) Converting existing methods and procedures to the new system.

(f) Scheduling and conducting orientation and training.

(g) Preparing the site for automated systems.

b. Operational Activities. These include the continuing activities involved in data collection, processing, and transmission.

(1) Data collection consists of tasks involved in recording data at the source and making the data available for use, including:

(a) Obtaining, assembling, and recording source data by the preparing units.

(b) Controlling the accuracy of the source data.

(c) Forwarding source data to the processing unit.

(d) Storing source data for future reference.

(2) Data processing is the manipulation of data into the desired structure or format, including:

(a) Receiving and controlling source data documents at the processing unit.

(b) Preparing data for data entry, logging and batching input forms, transcribing data, manually editing data, correcting errors.

(c) Translating data to machine-readable form.

(d) Resolving data errors and obtaining missing data.

(e) Updating files and databases.

(f) Extracting and compiling data for the desired report format or medium.

(g) Performing system maintenance tasks, updating and upgrading system software.

(3) Data transmission consists of the activities involved in the delivery of system outputs to the user, including:

(a) Reproducing report copies.

(b) Bursting multiple copies.

(c) Delivering reports.

c. User Activities. These consist of activities performed on the reported information by the office that imposes the information requirement. Specific tasks may include:

(1) Interpreting and analyzing the reported information.

(2) Reading, reviewing, and discussing the reported information.

(3) Using the information for the purpose for which it was intended.

3. Basic Reports Costing Requirements

a. Costs to Include in Reporting Cost Estimates. Estimates of reporting costs should include the resources expended on each of the three basic reporting categories--developmental, operational, and user, and their associated tasks in the development of a reporting system. For each of these three categories, the following types of resources and their costs should be included:

(1) Direct Personnel Costs

(a) Direct personnel costs consist of direct labor and fringe benefits costs. The direct labor cost is that portion of employee salaries that is charged to a reporting activity. The fringe benefits cost consists of allowances and services provided to Federal employees in addition to employee salaries. It is expressed as a percentage of the salary cost. The CMC (ARDB) website provides the total (direct labor and fringe benefits) hourly rates to be used in computing personnel costs.

(b) Compiling the Personnel Costs. To determine the personnel costs for a reporting activity, two items of information are needed: (1) the amount of time it takes to perform the activity, and (2) the rate of pay of personnel performing the activity. The amount of time required for an activity can be expressed in either work hours or work years. When determining the personnel costs, the actual salary rates should be used for existing positions.

(2) Overhead Costs. Overhead costs are costs incurred by an organization in the support of its assigned mission. These costs are called overhead or indirect cost because they apply to activities that benefit the organization as a whole, rather than any one particular function or activity. Marine Corps has developed a standard overhead rate of 25%. Included in overhead costs are the following cost categories:

(a) Supervisory personnel, salaries, and fringe benefits.

(b) Clerical and technical personnel, salaries, and fringe benefits.

(c) Supplies and common distribution items such as telephones.

(d) Space and utilities (Standard Level User Charges).

The following example shows procedures for determining personnel costs when the amount of time spent on an activity and the grades of personnel performing the activity are known. The example is for operational activity costs. Development and user costs should be obtained using the same procedure.

OPERATIONAL COSTS

Grade/ Rank	Hours Spent	x Hourly Rate	=Personnel Cost	+25% Overhead	=Total Cost by Grade/Rank
GS-9	52	$32.10	$1669.20	$417.30	$2086.50

(3) Direct Equipment, Materials, and Supplies Costs. Direct equipment, materials, and supplies costs are those costs that are directly expended on a reporting system or activity. Examples of the types of equipment that may be included are computers, word processors, printers, microfilm readers, copiers, and calculators. Examples of the types of materials and supplies are magnetic tape/disks, paper, microfilm, lubricants, toners, etc. In cases where the equipment is used for both reporting and other purposes, the cost should be prorated so that only the share used specifically for reporting is included in the cost. The equipment cost should include the acquisition cost and the transportation and installation costs. The cost of the equipment should be amortized over a period of 3, 5, or 10 years, depending on the useful life of the equipment. The annual equipment maintenance charges should also be included. The following example shows the procedure for determining equipment cost:

Equip Item	Equip Cost	Amortized Cost	x % of Time Used for Reporting Purposes	= Annual Direct Equip Cost (Maint. not included)
Mini Computer	$25,000	$5,000 ($25,000 divided by 5)	95%	$4,750.00

(4) Other Direct Costs. Costs other than personnel, equipment, materials, and supplies that can be directly attributed to a reporting activity fall into this category. In most instances, they consist of purchased services and operations or those activities for which fees are charged.

4. Independent Reports. If a reporting system uses a feeder report as input, and if the feeder report is an independent report that would continue if the reporting system being estimated did not exist, the cost of the feeder report should be excluded from the estimated costs of the reporting system. However, if the feeder report is modified to serve as input to the reporting system, then the development and operational costs resulting from the modification of the feeder report should be included in the estimated cost of the system. The latter situation can arise, for example, in the case of an interagency reporting requirement. The responding agency may need to make major or minor modifications to an existing report or reporting system in order to prepare

and submit the required interagency report. Only include the additional reporting estimated costs of the interagency report.