

SUPPORTING STATEMENT (Refer to OMB Form 83-I INST)

A. JUSTIFICATION

1. Need for the Information Collection

Section 563 of Public Law (PL) 110-417, the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2009, directs the Secretary of Defense to implement a centralized case-level database for the collection and maintenance of information regarding sexual assaults involving members of the Armed Forces, including information, if available, about the nature of the assault, victim, alleged offender, investigative information, case outcomes in connection with the assault, and other information necessary to fulfill reporting requirements. Specifically, the system will collect data regarding incidences of sexual assault involving persons covered by DoD Instruction (DoDI) 6495.02. Those individuals are as follows:

a. Active duty Reserve members and National Guard members covered by title 10 or title 32;

b. Military dependents 18 years of age and older, who are eligible for treatment in the military healthcare system, at installations in the continental United States (CONUS) and outside of the continental United States (OCONUS), and who were victims of sexual assault perpetrated by someone other than a spouse or intimate partner.

c. The following non-military personnel:

i. DoD civilian employees and their family dependents 18 years of age and older when they are stationed or performing duties OCONUS and eligible for treatment in the military healthcare system at military installations or facilities OCONUS;

ii. U.S. citizen DoD contractor personnel when they are authorized to accompany the Armed Forces in a contingency operation OCONUS and their U.S. citizen employees per DoDI 3020.41;

d. Service members who were victims of sexual assault prior to enlistment or commissioning;

e. DoD civilians, DoD contractors, other Federal government employees, U.S. civilians, and foreign military members (who may be lawfully admitted into the U.S. or who are not covered under the Privacy Act) who were victims or perpetrators of a sexual assault involving a member of the Armed Services per the reporting requirements of Section 1631 of PL 111-83.

Additional authorities include:

10 U.S.C. 136, Under Secretary of Defense for Personnel and Readiness; 10 U.S.C. 3013, Secretary of the Army; 10 U.S.C. 5013, Secretary of the Navy; 10 U.S.C. 8013, Secretary of the Air Force; 32 U.S.C. 102, National Guard; DoD Directive 6495.01, Sexual

Assault Prevention and Response (SAPR) Program; DoD Instruction 6495.02, SAPR Program Procedures; Army Regulation 600-20, Chapter 8, Army Command Policy (SAPR Program); Secretary of the Navy Instruction 1752.4B, Sexual Assault Prevention and Response; Marine Corps Order 1752.5B, SAPR Program; Air Force Instruction 90-6001, SAPR Program; and E.O. 9397 (SSN), as amended.

Records may also be used as a management tool for statistical analysis, tracking, reporting, evaluating program effectiveness, conducting research, and case and business management. De-identified data may also be used to respond to mandated reporting requirements. De-identified data may also be used to respond to mandated reporting requirements.

2. Use of the Information

The Defense Sexual Assault Incident Database (DSAID) fulfills the following primary functions:

- a. Enhances the transparency of sexual assault-related data, while adhering to the privacy and Restricted Reporting options for sexual assault victims;
- b. Provides accurate and timely ad-hoc query and reporting of sexual assault incidents to meet congressional requirements;
- c. Enables SARCs to input and maintain sexual assault cases; and
- d. Allows for business management in support of SAPR program manager administration and case management.

Records may also be used as a management tool for statistical analysis, tracking, reporting, evaluating program effectiveness, conducting research, and case and business management. De-identified data may also be used to respond to mandated reporting requirements.

Service members and military dependents 18 years and older who have been sexually assaulted have two reporting options: Unrestricted or Restricted Reporting. If a victim elects the Restricted Reporting option, no PII will be collected. If an individual elects Unrestricted Reporting, this reporting option triggers an investigation. Non-military or federal employee victims of sexual assaults involving members of the Armed Forces may only file an Unrestricted Report. The only exception is military dependents who are adult sexual assault victims. These individuals are able to file a Restricted Report by electing such a report on a DD Form 2910.

When a sexual assault is reported, a SARC is notified and responds or directs a SAPR Victim Advocate (VA) to respond. The SARC or SAPR VA will speak with the victim and may begin filling in the DD Form 2965 with the information received from the individual. The DD Form 2965 may not be completed in one sitting. Information collected on the DD Form 2965 is input into DSAID by the SARC as received. If a sexual assault involving a non-military

or federal employee victim is first reported to civilian law enforcement, information on these members of the public may also be collected as part of an Unrestricted or Restricted Report when provided to the investigating military authority by civilian law enforcement.

3. Use of Information Technology

Information is collected from the individual and input into DSAID by the SARC for the purpose of case/ business management. Authorized Military Service legal officers are also able to update investigative information entered by SARCs for the purpose of capturing case outcome. Case information maintained in DSAID is also received from Military Criminal Investigative Organizations' (MCIO) systems, when appropriate. Information collected by the SARC, SAPR VA, or Military Service legal officers is input into DSAID manually. Information from the MCIO systems is transferred electronically via Secure File Transfer. In total, an estimated 25% of data submissions are transmitted into DSAID electronically.

4. Non-duplication

Each Military Service maintains a number of systems that support the various communities involved in providing support to victims of sexual assault and other response elements to include criminal investigative and legal communities. Other than DSAID, however, a system to consolidate and centralize this data does not exist. The lack of such a system would make cradle-to-grave case management, reporting, accurate trend analysis on the efficiency of training programs, and victim care difficult and labor intensive. The current service systems and status are as follows:

- a. The Department of the Army's Army Law Enforcement Reporting and Tracking System is currently deployed and captures investigative and legal information.
- b. The Department of the Navy's Consolidated Law Enforcement Operations Center is currently deployed and captures investigative and legal information.
- c. The Department of the Air Force's Investigative Information Management System is currently deployed and captures case investigative information.

These sources of data were examined at the time of DSAID's creation, and were found not to meet the mandate as they are Military Service specific and not DoD-wide systems. Additionally, these Service-level systems lack the capability to run reports that meet current congressional and Departmental reporting requirements.

5. Burden on Small Business

DSAID will not collect or maintain information related to small businesses or other small entities.

6. Less Frequent Collection

At this time, it is estimated that DSAID is required to generate roughly 20 standard Military Service and Military Service Academy reports a year. They are generated by DSAID either quarterly or annually. Eight of these standard reports are congressionally mandated. The system will also produce weekly ad hoc queries and reports, as well as respond to congressional and Government Accountability Office (GAO) inquiries as needed.

There would be no consequences if the collection were conducted less frequently.

7. Paperwork Reduction Act Guidelines

There are no special circumstances that require the collection of information for DSAID to be conducted in a manner inconsistent with the guidelines delineated in 5 Code of Federal Regulations (CFR) 1320.5(d)(2).

8. Consultation and Public Comments

a. Public comments were solicited in the Federal Register via a 60-day notice on July 31, 2015 (80 FR 45646). No public comments were received..

b. Public comments were also solicited in the Federal Register via a 30-day notice on September 25, 2015 (80 FR 57795).

c. Section 563 of PL 110-417, the NDAA for FY09, directed the implementation of DSAID. A working group was established in early 2008 to design a system that will be useful and relevant to the needs of the Department and each Military Service. It consisted of representation from SAPRO, each of the Military Services, the National Guard Bureau, the Office of the Assistant Secretary of Defense (OASD) for Reserve Affairs (RA), the OASD for Health Affairs (HA), and the Joint Chiefs of Staff (JCS). Together, the working group created a high level design concept document for DSAID. The group submitted a proposal to the Department, which it accepted and delivered to the Congress in 2009. SAPRO further collaborated with the stakeholders from each of the Military Services and established a more detailed DSAID requirements package that was used as the basis for a contract to develop the system. DSAID was ultimately stood up in March 2012. Further enhancements and upgrades to DSAID are evaluated and approved by the DSAID Change Control Board (CCB).

The Department continues to work with the Military Services and other stakeholders regarding the availability of requested information, frequency of collection, and clarity of instructions to further develop DSAID. Consultation with stakeholders occurs on a monthly basis through the DSAID CCB process.

9. Gifts or Payment

Gifts or payments will not be provided to respondents. However, victims and alleged perpetrators may be entitled for benefits allowed by the law.

10. Confidentiality

DSAID collects victim and alleged perpetrator personal identifiers, incident information, and case outcomes in connection with the assault. PII is collected by SARCs and sometimes SAPR VAs. The collection of case information is used to document elements of the sexual assault reporting process and comply with the procedures in place to effectively manage the Department's SAPR programs. In order to safeguard individual privacy, records are maintained in a controlled facility. Physical entry is restricted by the use of guards, identification badges, key cards, and locks. Access to case files in the system is role-based and requires the use of a Common Access Card (CAC) and password. Periodic security audits are also conducted.

DSAID resides on the Joint Information Technology Provider - Pentagon Directorate network. Technical safeguards include firewalls, passwords, encryption of data, and use of a virtual private network. In addition, the local drive resides behind a firewall and the direct database cannot be accessed from the outside. . Access rights and permission lists for Sexual Assault Response Coordinators (SARCs) and authorized Military Service legal officers are granted by Military Service Sexual Assault Prevention and Response program managers or by the SAPRO DSAID Program Manager through the assignment of appropriate user roles. No other personnel other than those with role-based access can have access to an individual's PII unless permission is granted from the individual in writing to release the information.

Records are cut off at the end of the fiscal year and destroyed fifty years after cut off.

Individuals are also notified of the collection and their rights via Privacy Act statements at the top of the vehicle for collection, DD Form 2965, "Defense Sexual Assault Incident Database (DSAID) Data Form)," and [DD Form 2910, "Victim Reporting Preference Statement."](#)

Details regarding the steps taken to ensure PII confidentiality are articulated in DHRA 06 DoD and the "Privacy Impact Assessment (PIA) for the Defense Sexual Assault Incident Database." The Privacy Act System of Records Notice (SORN), DHRA 06 DOD, "Defense Sexual Assault Incident Database," was initially published on December 15, 2009 (77 FR 37002) and was last updated on July 8, 2014 (79 FR 38534). A Privacy Impact Assessment was initially completed in September 2009 and was updated in July 2015. A copy of the current SORN is available at: <http://dpcl.d.defense.gov/Privacy/SORNsIndex/DODwideSORNArticleView/tabid/6797/Article/570559/dhra-06-dod.aspx>

A copy of the PIA is also available at:

<http://www.dhra.mil/webfiles/docs/Privacy/PIA/DHRA.06.SAPRO.DSAID.7.15.2015.pdf>

11. Sensitive Questions

As stated, victims of sexual assault have two options when reporting information regarding an incident. Victims may consent to a full collection of information, which will initiate an investigation through the election of the Unrestricted Reporting option; or they may report in a way that enables them to receive assistance without initiating an investigation through the election of a Restricted Report. If a victim elects the Restricted Reporting option, no PII will

be collected but full or limited SAPR services may be available. Non-military or federal employee victims of sexual assaults involving members of the Armed Forces may only file an Unrestricted Report, with the exception of adult military dependents. In this way, no collected information violates the Privacy Act, as implemented by DoD 5400.11-R.

If an individual elects the Unrestricted Reporting option, PII elements collected include Social Security Numbers, race, and ethnicity. A Social Security Justification Memorandum was signed and approved authorizing the collection of SSN in April 2014. Race and ethnicity categories are in compliance with those outlined in DoD Manual 7730.47-M, Volume 1, “Defense Incident-Based Reporting System (DIBRS): Data Segments and Elements,” a copy of which is included with this package.

12. Respondent Burden, and its Labor Costs

a. Estimation of Respondent Burden

The average burden hours required to complete the DD Form 2965 is 1 hour. Additionally, there is a burden of 1.5 hours to complete the DD Form 2910. Only a small fraction of respondents (Adult military dependents filing Restricted Reports, T=122), however, complete the DD Form 2910 in addition to the 2965 (for a total of 2.5 burden hours) as detailed in the table in Section 12b below. The total burden hours and burden per response were arrived at by using a weighted average of response times for all respondents.

Number of Respondents: 1130

Responses per Respondent: 1

Annual responses: 1130

Average Burden per Response: 1.162 hours

Total Annual Burden Hours: 1313

b. Labor Cost of Respondent Burden

The estimated annualized cost to respondents of the burden hours imposed by the collection is \$25,000 per the table below.¹ This does not include capital, start-up, contracting out, or operations and maintenance costs. Respondent cost other than burden hour costs are shown in Item 13 of this Supporting Statement.

¹ United States Department of Labor, Bureau of Labor Statistics, “May 2014 National Occupational Employment and Wage Estimates,” http://www.bls.gov/oes/current/oes_nat.htm.

Costs to the Public

Description	# of Personnel	Average Grade	Hours	Qualifier	Frequency	Estimated Cost
Department of the Air Force public victims (Unrestricted)	225	N/A	1.0	Man Hours	1	\$4,988.25
Department of the Air Force public victims (Restricted)	45	N/A	2.5	Man Hours	1	\$2,494.13
Department of the Army public victims (Unrestricted)	498	N/A	1.0	Man Hours	1	\$11,309.58
Department of the Army public victims (Restricted)	42	N/A	2.5	Man Hours	1	\$2,384.55
Department of the Navy public victims (Unrestricted)	285	N/A	1.0	Man Hours	1	\$6,472.35
Department of the Navy public victims (Restricted)	35	N/A	2.5	Man Hours	1	\$1,987.13
Total						\$29,635.98

Assumptions and Notes:

Assumes number of times DD Form 2965 is filled out is equal to number of victim reports (unrestricted plus restricted)

Assumes FY 2014 victim reports are reasonable estimate of future victim reports

Assumes 1 hour for public victims to complete the DD 2965 (Unrestricted Reports)

Assume 2.5 hours for public victims to complete the DD 2910 and DD2965 (Restricted Reports)

Assumes converted reports take the same amount of time as unrestricted reports

Assumes a pay rate of \$22.71 per hour for public victims in accordance with the mean national hourly wage per the Bureau of Labor Statistics

National Guard numbers are reported as part of the Department of the Air Force and Department of the Army as appropriate

USCG and Marine Corps numbers are reported as the Department of the Navy

13. Respondent Costs Other Than Burden Hour Costs

The estimated annualized costs to respondents, other than the burden hour costs addressed in Item 12, resulting from the collection of information is as follows:

- a. Total capital and start-up costs annualized over the expected useful life of the item(s) are \$0.00. Total operation and maintenance costs to respondents are \$0.00.

14. Cost to the Federal Government

The estimated annualized cost to Federal Government imposed by the collection is \$2,816,187.78 per the charts below:

Labor Cost to the Responding Component

Description	# of Personnel	Average Grade	Hours	Qualifier	Recurrence	Frequency	Estimated Cost
Administrative Officer	1	GS-13	520	Man Hours	One-time	1	\$25,393.00
Highly Qualified Expert	1	O-7	624	Man Hours	One-time	1	\$76,359.70
Oversight/Program Analyst	1	GS-13	312	Man Hours	One-time	1	\$15,235.80
Oversight/Program Analyst	1	GS-14	1040	Man Hours	One-time	1	\$60,012.50
Oversight/Assessment Program Manager	1	GS-15	1560	Man Hours	One-time	1	\$105,888.60
Total							\$282,889.60

Assumptions and Notes:

Assumes staff are working 40 hours per week for 52 weeks per year for a total of 2,080 hours per year
 Assumes the Administrative Officer spends 25% of their time working on DSAID
 Assumes the Highly Qualified Expert spends 30% of their time working on DSAID
 Assumes the GS-13 Oversight/Program Analyst spends 15% of their time working on DSAID
 Assumes the GS-14 Oversight/Program Analyst spends 50% of their time working on DSAID
 Assumes the Oversight/Assessment Program Manager spends 75% of their time working on DSAID
 Assumes a pay rate of \$48.80 per hour for GS-13 staff per the CAPE Cost Guidance Portal
 Assumes a pay rate of \$122.40 per hour for O-7 staff per the CAPE Cost Guidance Portal
 Assumes a pay rate of \$57.70 per hour for GS-14 staff per the CAPE Cost Guidance Portal
 Assumes a pay rate of \$67.90 per hour for GS-15 staff per the CAPE Cost Guidance Portal
 Rounds total down to the thousandths place per the CAPE Cost Guidance Portal

Non-Labor Cost to the Requesting Component

Description	Cost	Recurrence	Frequency	Estimated Cost
Operation and Maintenance	\$1,000,000.00	One-time	1	\$1,000,000.00
Contract Support: 7 FTEs	\$1,456,000.00	One-time	1	\$1,456,000.00
Hosting Provider	\$24,100.00	One-time	1	\$24,100.00
Total				\$2,480,100.00

Assumptions and Notes:

Assumes contract staff are working 40 hours per week for 52 weeks per year for a total of 2,080 hours per year

Assumes contract staff are working at a rate of \$100 per hour

Assumes DSAID Hosting accounts for 10% of the overall contract costs with ETISD

Costs to the DoD and OSD Components

Description	# of Personnel	Average Grade	Hours	Qualifier	Frequency	Estimated Cost
Department of the Air Force SARC (Unrestricted Reports)	118	GS-12	0.3	Man Hours	1.9	\$2,774.25
Department of the Air Force SAPR VAs (Unrestricted Reports)	79	GS-11	0.7	Man Hours	2.8	\$5,402.25
Department of the Air Force SARC (Restricted Reports)	118	GS-12	0.8	Man Hours	0.4	\$1,387.13
Department of the Air Force SAPR VAs (Restricted Reports)	79	GS-11	1.8	Man Hours	0.6	\$2,701.13
Department of the Army SARC (Unrestricted Reports)	323	E-7	0.3	Man Hours	1.5	\$7,873.38
Department of the Army SAPR VAs (Unrestricted Reports)	305	E-6	0.7	Man Hours	1.6	\$15,721.86
Department of the Army SARC (Restricted Reports)	323	E-7	0.8	Man Hours	0.1	\$1,660.05
Department of the Army SAPR VAs (Restricted Reports)	305	E-6	1.8	Man Hours	0.1	\$3,314.85
Department of the Navy SARC (Unrestricted Reports)	135	GS-12	0.3	Man Hours	2.1	\$3,514.05
Department of the Navy SAPR VAs (Unrestricted Reports)	87	E-4	0.7	Man Hours	3.3	\$5,945.10
Department of the Navy SARC (Restricted Reports)	135	GS-12	0.8	Man Hours	0.3	\$1,078.88
Department of the Navy SAPR VAs (Restricted Reports)	87	E-4	1.8	Man Hours	0.4	\$1,825.25
Total						\$53,198.18

Assumptions and Notes:

Assumes number of times DD Form 2965 is filled out is equal to number of victim reports (unrestricted plus restricted)

Assumes FY 2014 victim reports are reasonable estimate of future victim reports

Assumes an average of 1.00 hour for a SARC or SAPR VA to fill out the DD Form 2965 (Unrestricted Report)

Assumes an average of 2.5 hours for a SARC or SAPR VA to fill out the DD Form 2910 and DD 2965 (Restricted Report)

Assumes converted reports take the same amount of time as unrestricted reports

Assumes SARCs are responsible for 30% of the report completion

Assumes SAPR VAs are responsible for 70% of the report completion
Assumes a pay rate of \$29.80 per hour for E-4 staff per the CAPE Cost Guidance Portal
Assumes a pay rate of \$45.10 per hour for E-6 staff per the CAPE Cost Guidance Portal
Assumes a pay rate of \$52.70 per hour for E-7 staff per the CAPE Cost Guidance Portal
Assumes a pay rate of \$34.30 per hour per GS-11 staff per the CAPE Cost Guidance Portal
Assumes a pay rate of \$41.10 per hour per GS-12 staff per the CAPE Cost Guidance Portal
National Guard numbers are reported as part of the Department of the Air Force and Department of the Army as appropriate
USCG and Marine Corps numbers are reported as the Department of the Navy

Total: \$2,816,187.78

15. Reasons for Change in Burden

The reason for the reduction in burden, as indicated in Item 13 of OMB Form 83-I, is due to more accurate estimates of program usage by members of the public since operation was fully stood up.

16. Publication of Results

Aggregate data collected in DSAID will be published in accordance with Section 577(f) of PL No. 108-375, the NDAA for FY05. Section 596 of PL No. 109-163, the NDAA for FY06, and Section 583 of PL No. 109-364, the NDAA for FY07, impose additional requirements for the report. The mandate requires the collection of sexual assault information involving members of the Armed Forces annually and that the publication of this data be submitted to Congress.

In order to protect individual privacy, personal descriptors, such as PII, will not be published. Data that is published will remain in numerical form.

17. Non-Display of OMB Expiration Date

DSAID will display of the expiration date of OMB approval on the entry page.

18. Exceptions to “Certification for Paperwork Reduction Submissions”

There is no provision of Item 19.a of OMB Form 83-I which cannot be certified.

B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS

The collection of information in DSAID does not employ statistical methods, as indicated in Item 17 of OMB Form 83-I.