



Department of Defense **INSTRUCTION**

NUMBER 8910.01

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Certified Current Through March 6, 2014

Incorporating Change 1, January 17, 2013

DoD CIO

SUBJECT: Information Collection and Reporting

- References:
- (a) DoD Directive 8910.1, "Management and Control of Information Requirements," June 11, 1993 (hereby canceled)
 - (b) DoD Instruction 5025.01, "DoD Directives Program," September 26, 2012
 - (c) DoD Directive 5144.1, "Assistant Secretary of Defense for Networks and Information Integration/DoD Chief Information Officer (ASD(NII)/DoD CIO)," May 2, 2005
 - (d) Chapter 35 of title 44, United States Code
 - (e) through (o), see Enclosure 1

1. REISSUANCE AND PURPOSE

This Instruction:

1.1. Reissues Reference (a) as a DoD Instruction (DoDI) in accordance with the guidance in Reference (b) and the authority in Reference (c).

1.2. Establishes and reissues policies and assigns responsibilities for the collection of information and the control of the paperwork burden consistent with Reference (d).

1.3. Continues to authorize publication of DoD 8910.1-M (Reference (e)), by the Director, Washington Headquarters Services (WHS), in accordance with Reference (b).

2. APPLICABILITY AND SCOPE

This Instruction applies to:

2.1. The Office of the Secretary of Defense (OSD), the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies, the DoD

Field Activities, and all other organizational entities within the Department of Defense (hereafter referred to collectively as the "DoD Components").

2.2. Information collected from sources external to the Federal Government, as well as internally in the Department of Defense.

2.3. The collection of information to satisfy statutory, congressional, and approved interagency information requirements, and those in support of all management functions, unless excluded in Reference (e).

3. DEFINITIONS

Terms used in this Instruction are defined in Enclosure 2.

4. POLICY

It is DoD policy that:

4.1. Prior to collecting information, users requiring the information shall ensure that the information to be collected is not duplicative of information already available. When information is not already available, users shall ensure that:

4.1.1. Other methods (e.g., statistical sampling) that will minimize the information collection burden cannot be used.

4.1.2. The information collection request is valid, accurate, and essential to the mission of the user's organization.

4.2. Information collection requirements shall be designed to meet only essential needs and be as infrequent as feasible, with reasonable due dates. The number of copies to be prepared shall be held to a minimum. One-time information collection requirements may not be imposed when the need for a recurring information collection requirement is indicated.

4.3. Information collected from the public as defined in Reference (d), DoD Components, and other Federal Agencies shall be minimized, accounted for, and controlled.

4.3.1. Part 1320 of title 5, Code of Federal Regulations (Reference (f)), directs that public information collections be submitted to the Office of Management and Budget (OMB) for approval and assigned an OMB control number, and that an annual information collection budget of burden hours be developed and submitted to the OMB.

4.3.2. Information collection requirements that are within the sponsoring DoD Component shall be approved and assigned Component information control symbols.

4.3.3. DoD internal information requirements, where information across DoD Components is collected, shall be approved and assigned information control symbols at the OSD Component level.

4.3.4. An interagency information collection requirement, where the Department of Defense is the requesting agency, shall be approved and assigned an information control symbol at the OSD Component level.

4.4. Information collection requirements that have not been properly approved and symbolized shall not be honored.

4.5. Collections of information that contain personal information on individuals require special handling under DoD Directive 5400.11 (Reference (g)). Such information included in a proposed collection of information shall be accessible to the public, only as prescribed by DoD Directive 5400.07 (Reference (h)). To ensure personal information in electronic form is only acquired and maintained when necessary, and that the supporting information technology that is being developed and used protects and preserves the privacy of the American public, a privacy impact assessment shall be conducted in accordance with DoDI 5400.16 (Reference (i)).

4.6. When the information collection requirement has been approved and symbolized, and the information is collected, it shall be made visible, available, and usable to any potential authorized user.

5. RESPONSIBILITIES

5.1. The DoD Chief Information Officer (DoD CIO) shall, consistent with the guidance prescribed by OMB:

5.1.1. Develop and issue DoD-wide policies related to internal DoD, interagency, and public information collection activities.

5.1.2. Establish goals, consistent with critical mission needs, to reduce the number and frequency of DoD-prescribed internal information collection requirements.

5.1.3. Oversee the accomplishment of DoD information collection reduction goals.

5.1.4. Approve and issue the DoD information collection budget and monitor its execution.

5.2. The Under Secretary of Defense for Personnel and Readiness shall, before submission to the Director, WHS, approve surveys requiring participation of personnel in any DoD Component, other than the sponsoring Component, as prescribed by DoDI 1100.13 (Reference (j)).

5.3. The Director, WHS, under the authority, direction and control of the Director, Administration and Management, shall:

5.3.1. Develop, coordinate, and publish Reference (e) consistent with the policies and guidance contained herein, and in accordance with Reference (b).

5.3.2. Establish a DoD information collection control activity to:

5.3.2.1. Maintain an index of approved DoD public information collections: and DoD internal information collections located at <http://www.reginfo.gov/public/do/PRAMain> and <http://www.dtic.mil/whs/directives>, respectively.

5.3.2.2. Serve as the DoD clearance office and the office of record for DoD public information collection requirements, in accordance with References (d) and (f).

5.3.2.3. Serve as the office of record and approval authority for DoD-prescribed internal information collection requirements to include interagency collection requirements imposed by the Department of Defense, in accordance with guidance in References (d), (e), and (f), as well as 10 U.S.C. 1782 (Reference (k)), OMB Circular A-130 (Reference (l)), and this Instruction.

5.3.3. Process information collection requirements submitted by DoD staff after the staff has performed an assessment of ongoing information collection requirements.

5.3.4. Develop and coordinate the information collection budget.

5.4. The Heads of DoD Components and the OSD Principal Staff Assistants shall:

5.4.1. Ensure that users justify new information collection requirements and that the information is not already available from other sources. To reduce costs, ensure that data is not duplicated or unnecessarily generated.

5.4.1.1. Evaluate and screen each data element in an information collection requirement against information in existing information collection requirements to determine whether such existing information can satisfy the requirement.

5.4.1.2. Subject each new or revised information collection requirement to a cost analysis by using the Cost Assessment and Program Evaluation cost guidance website at <https://www.cape.osd.mil/CostGuidance> in accordance with Secretary of Defense Memorandum, Reference (m).

5.4.2. Determine whether the information is releasable from the Component to the other Federal Agencies.

5.4.3. Establish an information requirements control activity under the DoD Components' Chief Information Officer or representative to:

5.4.3.1. Serve as the principal point of contact on the various information collection requirements programs.

5.4.3.2. Ensure information collection requirements that include research involving human subjects are reviewed in accordance with the requirements of DoDI 3216.02, "Protection of Human Subjects and Adherence to Ethical Standards in DoD-Supported Research" (Reference (n)).

5.4.3.3. Provide for the efficient and effective management, control, and safeguarding of information collection requirements.

5.4.3.4. Process, symbolize, and cancel DoD Component internal information collection requirements where applicable. Ensure information control symbols assigned by a higher level shall not be assigned a different DoD Component information control symbol by a lower level organization.

5.4.3.5. Notify the office requesting the information that approval and the assignment of an information control symbol must be obtained before the information can be collected.

5.4.3.6. Submit respective information collection budgets through the DoD Public Information Collections Officer (PICO) in the WHS Information Management Division to the DoD CIO.

5.4.3.7. Submit requests for public information collection requirements to the DoD PICO in the WHS/ESD Information Management Division, and DoD internal and interagency information collection requirements to the DoD Internal Information Collections Officer (IICO) in the WHS/ESD Directives Division.

5.4.3.8. Maintain an up-to-date index of approved information collection requirements.

5.4.4. Respond only to those information collection requirements that have been symbolized; that is, assigned information control symbols, or OMB control numbers, or exempted, consistent with Reference (e).

5.4.5. Establish goals, as appropriate, consistent with critical mission needs, for reduction in the number or frequency of their internally prescribed information collection requirements.

5.4.6. Ensure that the Component assesses its information collection requirements no less frequently than every 3 years to ensure they are still valid and adequate. Actions shall be taken to accomplish modifications, cancellations, or new initiatives identified during the review. The results shall be communicated to the information requirements control activity. The DoD Component should consider the assignment of expiration dates to information collection requirements to avoid the workload burden of obtaining re-approval of their information collection requirements.

6. RELEASABILITY. UNLIMITED. This Instruction is approved for public release and is available on the Internet from the DoD Issuances Website at <http://www.dtic.mil/whs/directives>.

7. EFFECTIVE DATE. This Instruction:

a. Is effective March 6, 2007.

b. Must be reissued, cancelled, or certified current within 5 years of its publication in accordance with Reference (b). If not it will expire effective March 6, 2017, and be removed from the DoD Issuances Website.



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Enclosures - 2

E1. References, continued

E2. Definitions

E1. ENCLOSURE 1

REFERENCES, continued

- (e) DoD 8910.1-M, “DoD Procedures for Management of Information Requirements,” June 1998
- (f) Title 5, Code of Federal Regulations, Section 1320
- (g) DoD Directive 5400.11, “DoD Privacy Program,” May 8, 2007, as amended
- (h) DoD Directive 5400.07, “DoD Freedom of Information Act (FOIA) Program,” January 2, 2008, as amended
- (i) DoD Instruction 5400.16, “DoD Privacy Impact Assessment (PIA) Guidance,” February 12, 2009
- (j) DoD Instruction 1100.13, “Surveys of DoD Personnel,” November 21, 1996
- (k) Section 1782 of title 10, United States Code
- (l) Office of Management and Budget (OMB) Circular A-130, “Management of Federal Information Resources,” November 28, 2000¹
- (m) Secretary of Defense Memorandum, “Track Four Efficiency Initiatives Decisions,” March 14, 2011
- (n) DoD Instruction 3216.02, “Protection of Human Subjects and Adherence to Ethical Standards in DoD-Supported Research”, November 8, 2011

E2. ENCLOSURE 2

DEFINITIONS

E2.1. Burden. The total time, effort, or financial resources expended for:

E2.1.1. Reviewing instructions.

E2.1.2. Acquiring, installing, and utilizing technology and systems.

E2.1.3. Adjusting the existing ways to comply with any previously applicable instructions and requirements.

E2.1.4. Searching data sources.

E2.1.5. Completing and reviewing the collection of information.

E2.1.6. Transmitting, or otherwise disclosing the information.

E2.2. Collection of Information. Obtaining or causing to be obtained, soliciting, or requiring of facts or opinions regardless of form/format used.

E2.3. DoD Component Internal Information Requirements. DoD Component internal information requirements are those information requirements that are internal to a particular DoD Component and approved by that Component. Examples of these would be Under Secretary of Defense for Personnel and Readiness internal, Army internal, Air Force internal, Navy internal, DLA internal, etc.

E2.4. DoD Internal Information Collection Requirements. DoD internal information collection requirements is a collection of information from two or more DoD Components and require approval by the DoD Internal Information Collections Officer, who resides in WHS. Examples of these would be if a survey draws subjects from two or more Military Services, or if a survey draws subjects from a Military Service and another OSD Component.

E2.5. Information. Any communication or representation of knowledge such as facts, data, or opinions in any medium or form, including textual, numeric, graphic, cartographic, narrative, or audiovisual forms. (See Reference (1))

E2.6. Information Collection Budget. An annual comprehensive budget of burden hours for all collections of information from the public to be conducted or sponsored by a Federal Agency in the succeeding 12 months.

E2.7. Information Requirements Assessment. The analysis of ongoing information requirements to ascertain the need for the information, the cycle of reporting, the timeliness of the requirement, the accuracy of the information, and the cost-effectiveness of the requirement.

E2.8. Interagency Information Collection Requirement. Any requirement that involves collecting information from or providing information to a Federal Agency from one or more other Federal Agencies. Interagency information collection requirements, where the Department of Defense is the requesting agency, are approved through the DoD internal information requirements process.

E2.9. PIA. The analysis of how information is handled:

E2.9.1. To ensure handling conforms to applicable legal, regulatory, and policy requirements regarding privacy.

E2.9.2. To determine the risks and effects of collecting, maintaining, and disseminating information in identifiable form in an electronic information system.

E2.9.3. To examine and evaluate protections and alternative processes for handling information to mitigate potential privacy risks.

E2.10. Sponsor. A sponsoring agency is one that causes another agency to collect information, contracts or enters into a cooperative agreement with a person to collect information, or requires a person to provide information to another person, or otherwise causes another person to obtain, retain, solicit, or require the disclosure to third parties or the public of information by or for an agency.

E2.11. Surveys of Persons. Systematic data collections, using personal or telephonic interviews, or self-administered questionnaires paper or Web-based from a sample of 10 or more persons as individuals or representatives of agencies that elicit attitudes, opinions, behavior, and related demographic, social, and economic data to identical questions that are to be used for statistical compilations for research and/or policy assessment purposes.