



# Department of Defense **INSTRUCTION**

**NUMBER** 8910.01

May 19, 2014

Incorporating Change 1, Effective July 8, 2020

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DoD CIO

**SUBJECT:** Information Collection and Reporting

**References:** See Enclosure 1

1. **PURPOSE.** This instruction:

a. Reissues DoD Instruction (DoDI) 8910.01 (Reference (a)) in accordance with the authority in DoD Directive (DoDD) 5144.02 (Reference (b)).

b. Establishes and reissues policies and assigns responsibilities for the collection of information and the control of the paperwork burden consistent with chapter 35 of Title 44, United States Code (U.S.C.) (Reference (c)).

2. **APPLICABILITY.** This instruction:

a. Applies to:

(1) 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 DoD (referred to collectively in this instruction as the “DoD Components”).

(2) Information collected from sources external to the Federal Government, as well as internally in the DoD.

(3) The collection of information to satisfy statutory and interagency requirements and those in support of all management functions, unless excluded in DoD Manual (DoDM) 8910.01 (Reference (d)).

b. Does not apply to information collections where DoD is a respondent to Congress. The Assistant Secretary of Defense for Legislative Affairs manages the approval and licensing processes for information collection requirements in which DoD responds to a request by

Congress. Policy, procedures, and guidance for information collections requested by Congress can be found in DoDI 5545.02 (Reference (e)).

c. Does not address approval processes for information collections (audits, assessments, investigations, etc.) made pursuant to Appendix 3 of Title 5, United States Code, also known as the “Inspector General Act of 1978” (Reference (f)). Policy, procedures, and guidance for these audits, assessments, investigations, etc., can be found in DoDD 5106.01 (Reference (g)).

3. POLICY. It is DoD policy that:

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

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

(2) The information collection request is essential to the mission of the requesting organization and the cost of the collection is worth the benefit derived from it.

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

c. Information collected from the public as defined in Reference (d), OSD and DoD Components, and other federal agencies must be minimized, accounted for, and controlled.

(1) Part 1320 of Title 5, Code of Federal Regulations (Reference (h)) 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.

(2) Information collections that are within the requesting OSD or DoD Component must be approved and assigned a Component information collection control symbol.

(3) DoD information collections, where information across OSD or DoD Components is collected, must be approved and licensed with a DoD internal information collection report control symbol (RCS) prior to the collection of such information, in accordance with Reference (d).

(4) An interagency information collection requirement must be processed in accordance with Reference (d).

d. The OSD and DoD Components must not respond to information collections that have not been properly approved and licensed with an information collections control symbol.

e. Information collections that require special handling, such as classified and controlled unclassified information, must be protected from unauthorized disclosure in accordance with DoDI 5200.01 (Reference (i)).

f. Collections of information that contain personal information on individuals require special handling in accordance with DoDI 5400.11 (Reference (j)) and DoD 5400.11-R (Reference (k)). Such information included in a proposed collection of information must be accessible to the public only as prescribed by DoDD 5400.07 (Reference (l)). 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 members of the public, a privacy impact assessment of information collections must be conducted in accordance with DoDI 5400.16 (Reference (m)).

g. When an information collection has been approved and licensed with an information collection control symbol, and the information is collected, it must be made visible, available, and usable only to authorized individuals.

4. RESPONSIBILITIES. See Enclosure 2.

5. RELEASABILITY. **Cleared for public release.** This instruction is available on the Directives Division Website at <https://www.esd.whs.mil/DD/>.

6. SUMMARY OF CHANGE 1. The change to this issuance updates references and organizational titles and removes expiration language in accordance with current Chief Management Officer of the Department of Defense direction.

7. EFFECTIVE DATE. This instruction is effective May 19, 2014.



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ENCLOSURE 1

REFERENCES

- (a) DoD Instruction 8910.01, "Information Collection and Reporting," March 6, 2007, as amended (hereby cancelled)
- (b) DoD Directive 5144.02, "DoD Chief Information Officer (DoD CIO)," April 22, 2013
- (c) Chapter 35 of Title 44, United States Code
- (d) DoD Manual 8910.01, "DoD Information Collections Manual," June 30, 2014, as amended
- (e) DoD Instruction 5545.02, "DoD Policy for Congressional Authorization and Appropriations Reporting Requirements," December 19, 2008
- (f) Appendix 3 of Title 5, United States Code, "Inspector General Act of 1978", as amended
- (g) DoD Directive 5106.01, "Inspector General of the Department of Defense (IG DoD)," April 20, 2012, as amended
- (h) Part 1320 of Title 5, Code of Federal Regulations
- (i) DoD Instruction 5200.01, "DoD Information Security Program and Protection of Sensitive Compartmented Information (SCI)," April 21, 2016, as amended
- (j) DoD Instruction 5400.11, "DoD Privacy and Civil Liberties Programs," January 29, 2019
- (k) DoD 5400.11-R, "Department Of Defense Privacy Program," May 14, 2007
- (l) DoD Directive 5400.07, "DoD Freedom of Information Act (FOIA) Program," April 5, 2019
- (m) DoD Instruction 5400.16, "DoD Privacy Impact Assessment (PIA) Guidance," July 14, 2015, as amended
- (n) DoD Instruction 5025.01, "DoD Issuances Program," August 1, 2016, as amended
- (o) DoD Instruction 1100.13, "DoD Surveys," January 15, 2015, as amended
- (p) Office of Management and Budget (OMB) Memorandum M-13-13, "Open Data Policy—Managing Information as an Asset," May 9, 2013
- (q) Secretary of Defense Memorandum, "Track Four Efficiency Initiatives Decisions," March 14, 2011
- (r) DoD Instruction 3216.02, "Protection of Human Subjects and Adherence to Ethical Standards in DoD-Conducted and -Supported Research," April 15, 2020
- (s) DoD Instruction 5015.02, "DoD Records Management Program," February 24, 2015, as amended
- (t) DoD Manual 8400.01, "Accessibility Of Information And Communications Technology (ICT)," November 14, 2017
- (u) DoD Instruction 8170.01, "Online Information Management and Electronic Messaging," January 2, 2019
- (v) DoD Instruction 8500.01, "Cybersecurity," March 14, 2014, as amended
- (w) DoD Instruction 8510.01, "Risk Management Framework (RMF) for DoD Information Technology (IT)," March 12, 2014, as amended
- (x) DoD Instruction 7750.07, "DoD Forms Management Program," October 10, 2014
- (y) DoD Manual 7750.08, "DoD Forms Management Program (FMP) Procedures," February 25, 2020
- (z) DoD Instruction 1000.30, "Reduction of Social Security Number (SSN) Use Within DoD," August 1, 2012, as amended

ENCLOSURE 2

RESPONSIBILITIES

1. DoD CHIEF INFORMATION OFFICER (DoD CIO). Pursuant to Reference (b), the DoD CIO:

- a. Develops and establishes DoD policy for OSD and DoD internal, interagency, and public information collection activities.
- b. Establishes goals, consistent with critical mission needs, to reduce the number and frequency of DoD internal and public information collections.
- c. Oversees the accomplishment of DoD information collection reduction goals.
- d. Approves the DoD information collection budget and monitors its execution.

2. UNDER SECRETARY OF DEFENSE FOR PERSONNEL AND READINESS (USD(P&R)). In accordance with procedures prescribed in DoDI 1100.13 (Reference (o)) and this instruction, the USD(P&R):

- a. Provides mandatory coordination, including recommending approval or disapproval to Director, Washington Headquarters Services (WHS), on all surveys defined as DoD internal or public information collections, and in accordance with Reference (o). If USD(P&R) coordination results in a recommended disapproval, the disapproved survey instrument or methodology cannot be used to collect information in any licensed DoD internal or public information collections.
- b. Assesses all surveys for compliance with applicable laws, regulations, and policies before final approval. For DoD internal information collections, the DoD Internal Information Collections Officer (IICO), grants final approval and assigns an RCS to the information collection in accordance with Reference (d). For public information collections, OMB is the final approval authority and assigns an OMB control number to the information collection.

3. DIRECTOR, WHS. Under the authority, direction and control of the Chief Management Officer of the Department of Defense, the Director, WHS:

- a. Maintains Reference (d) consistent with this instruction, and in accordance with Reference (n).
- b. Establishes a DoD information collection control activity to:

(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/corres/intinfocollections/iic\\_home.html](http://www.dtic.mil/whs/directives/corres/intinfocollections/iic_home.html), respectively.

(2) Serve as the DoD clearance office and the office of record for DoD public information collections, in accordance with References (c) and (h), and develops and coordinates the DoD information collection budget. Established under these offices, the DoD Public Information Collections Officer (PICO) processes, and may certify, DoD public information collections. The DoD Clearance Officer processes and certifies DoD public information collections, and approves emergency processing requests to OMB for public collections in coordination with the Office of the DoD CIO.

(3) Serve as the office of record and approval and disapproval authority for DoD internal information collections, in accordance with guidance in References (d) and this instruction. Established under this office, the DoD IICO approves DoD internal information collections submitted by the OSD and DoD Components and assigns information collection report control symbols.

4. OSD AND DoD COMPONENT HEADS. The OSD and DoD Component heads:

a. Respond only to those information collections that have an active DoD internal information collection report control symbol, are not considered DoD internal information collections in accordance with Reference (d), are tracked as congressional information collections in accordance with Reference (e), or are assigned OMB control numbers for public information collections.

b. Collect information consistent with the requirements in OMB Memorandum M-13-13 (Reference (p)).

(1) Design new information collection so that the information collected or created supports interoperability between information systems and dissemination of information to the public, as appropriate, without the need to manipulate or reprocess the information.

(2) Use machine-readable and open data formats, data standards, and common core and extensible metadata for all new information creation and collection efforts.

(3) Apply open licenses to information as it is collected or created so that if data is made public there are no restrictions on copying, publishing, distributing, transmitting, adapting, or otherwise using the information for non-commercial or for commercial purposes.

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

(1) Evaluate and screen each data element in an information collection against information in existing information collections to determine whether such existing information can satisfy the requirement.

(2) Subject each new or revised information collection to a cost analysis by using the DoD Cost Guidance Portal located at <https://www.cape.osd.mil/CostGuidance>, in accordance with Secretary of Defense Memorandum (Reference (q)).

d. Determine whether information collected is releasable from the OSD or DoD Component to the other federal agencies, consistent with section 3510 of Reference (c).

e. Establish an information collections control activity under the OSD or DoD Components' CIO or elsewhere in the organization. An OSD or DoD Component Information Management Control Officer (IMCO) will be appointed in accordance with Reference (d) and positioned under this activity. The OSD or DoD Component IMCO:

(1) Serves as the OSD or DoD Component's principal point of contact on their information collections programs.

(2) Ensures information collections requiring the collection of personally identifiable information (PII) are reviewed in accordance with Reference (j).

(3) Ensures electronic collection of PII is conducted in accordance with Reference (m).

(4) Ensures information collections that include research involving human subjects are reviewed in accordance with the requirements of DoDI 3216.02 (Reference (r)).

(5) Ensures appropriate lifecycle management of records created during the information collection effort; collected information must be maintained, used, preserved, and disposed of in accordance with DoDI 5015.02 (Reference (s)).

(6) Ensures information is collected and provided in formats and methods that ensure accessibility in accordance with DoDM 8400.01 (Reference (t)).

(7) Provides for the efficient and effective management, control, and safeguarding, of collected information. Requests for information, including information collected via a computer system or an electronic format, must be appropriately safeguarded during transmission, storage, and processing in accordance with Reference (m), DoDI 8170.01 (Reference (u)), DoDI 8500.2 (Reference (v)), and DoDI 8510.01 (Reference (w)). Information collections that require special handling such as classified and control unclassified information must be protected from unauthorized disclosure in accordance with Reference (i).

(8) Ensures information collected that should be controlled as a DoD form is reviewed in accordance with the requirements in DoDI 7750.07 (Reference (x)) and DoDM 7750.08 (Reference (y)).



(9) Ensures the collection of social security numbers is justified in accordance with DoDI 1000.30 (Reference (z)).

(10) Licenses OSD or DoD Component internal information collections by assigning Component internal information collection symbols, where applicable. Cancels OSD or DoD Component internal information collections that are no longer required. Ensures information control symbols assigned by a higher level must not be assigned a different OSD or DoD Component information control symbol by a lower level organization.

(11) Notifies the office requesting the information that approval and the assignment of an information control symbol must be obtained before the information can be collected, and notifies the DoD IICO when unlicensed or expired DoD internal information collections are encountered.

(12) Submits requests for public information collections to the DoD PICO in the WHS Information Management Division and DoD internal and interagency information collections to the DoD IICO in the WHS Directives Division, in accordance with Reference (d).

(13) Maintains an up-to-date index of the OSD or DoD Component's information collections, and if necessary, provides copies of those records to the DoD IICO.

f. Establishes goals, as appropriate, consistent with critical mission needs, for reduction in the number or frequency of their internally prescribed information collections.

g. Ensures that the OSD or DoD Component assesses its information collections at least every 3 years to ensure they are still necessary. When feasible, actions must be taken to cancel unnecessary information collections or to modify the information collection to reduce burden.

## GLOSSARY

### PART I. ABBREVIATIONS AND ACRONYMS

DoD CIO	DoD Chief Information Officer
DoDD	DoD directive
DoDI	DoD instruction
DoDM	DoD manual
IICO	Internal Information Collections Officer
IMCO	Information Management Control Officer
OMB	Office of Management and Budget
PICO	Public Information Collections Officer
PII	personally identifiable information
RCS	Report Control Symbol
U.S.C.	United States Code
USD(P&R)	Under Secretary of Defense for Personnel and Readiness
WHS	Washington Headquarters Services

### PART II. DEFINITIONS

These terms and their definitions are for the purposes of this instruction.

burden. The total time, effort, or financial resources expended by persons to generate, maintain, retain, or disclose or provide information to or for a federal agency, including:

Reviewing instructions.

Developing, acquiring, installing, and utilizing technology and systems for the purposes of collecting, validating, and verifying information; processing and maintaining information; and disclosing and providing information.

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

Training personnel to be able to respond to a collection of information.

Searching data sources.

Completing and reviewing the collection of information.

Transmitting, or otherwise disclosing, the information.

collection of information. Obtaining or causing to be obtained, soliciting, or requiring of facts or opinions regardless of form or format used.

DoD internal information collection. A collection of information from two or more OSD or DoD Components that 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 or DoD Component.

DoD public information collection. A collection of information whereby information is collected by the DoD from the public. The PICO processes all DoD public information collections for OMB approval.

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.

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.

interagency information collection. Any requirement that involves collecting information from or providing information to a federal agency from one or more other federal agencies.

OSD or DoD Component internal information collection. Information requirements that are internal to a particular OSD or DoD Component and approved by that Component. Examples include USD(P&R) internal information collections. Under Secretary of Defense for Acquisition, Technology and Logistics internal, Army internal, Air Force internal, Navy internal, etc.

privacy impact assessment. The analysis of how information is handled:

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

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

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

surveys. Systematic data collections, using personal or telephonic interviews, or self-administered questionnaires, in paper or digital format, from a sample or census 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 or policy assessment purposes.