



## DoD INSTRUCTION 8910.01

### DoD IMPLEMENTATION OF THE PAPERWORK REDUCTION ACT

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<b>Originating Component:</b>	Office of the DoD Chief Information Officer
<b>Effective:</b>	December 5, 2022
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<b>Reissues and Cancels:</b>	DoD Instruction 8910.01, "Information Collection and Reporting," May 19, 2014, as amended
<b>Cancels:</b>	See Paragraph 1.3.
<b>Approved by:</b>	John B. Sherman, Chief Information Officer of the Department of Defense

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**Purpose:** In accordance with the authority in DoD Directive (DoDD) 5144.02, this issuance establishes policy and assigns responsibilities for the collection of information and control of the paperwork burden pursuant to Chapter 35, Subchapter I, of Title 44, United States Code (U.S.C.) (also known as the "Paperwork Reduction Act").

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## SECTION 1: GENERAL ISSUANCE INFORMATION

### 1.1. APPLICABILITY.

This issuance:

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 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 issuance as the “DoD Components”).

(2) Collections of information implicating the requirements of Chapter 35, Subchapter I, of Title 44, U.S.C., including:

(a) Collections of information from sources external to the Federal Government.

(b) Collections of information from Federal Agencies, instrumentalities, employees, or Service members which are to be used for general statistical purposes.

b. Does not apply to:

(1) Collections of information expressly excluded by statute from the requirements of Chapter 35, Subchapter I, of Title 44, U.S.C. (e.g., Section 3518 of Title 44, U.S.C.).

(2) The approval processes for collections of information (audits, assessments, investigations, etc.) made pursuant to the Appendix of Title 5, U.S.C., also known as the “Inspector General Act of 1978,” as amended. Policy, procedures, and guidance for these audits, assessments, investigations, etc., are in DoDD 5106.01.

### 1.2. POLICY.

a. Before collecting information, Components must ensure that the proposed collection is not duplicative of previously collected information. When information is not already available, users must ensure that both of the following conditions are met:

(1) Other methods (e.g., statistical sampling) cannot be used to minimize any information collection burdens.

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

b. Collections of information must be designed to meet only essential needs and include reasonable due dates. One-time information collections may not be imposed when the need for a recurring collection of information is indicated.

c. Information collected in the DoD must be minimized, accounted for, and controlled in accordance with this issuance. The DoD will submit information collections and an annual information collection budget (ICB) of burden hours to the Office of Management and Budget (OMB) in accordance with Part 1320 of Title 5, Code of Federal Regulations (CFR).

d. Collections of information that require special handling, such as classified and controlled unclassified information, must be protected from unauthorized disclosure in accordance with DoD Instructions (DoDIs) 5200.01 and 5200.48.

e. Collections of information that include personally identifiable information (PII) require special handling and appropriate safeguarding in accordance with DoDI 5400.11 and DoD 5400.11-R. In accordance with DoDI 5400.16, a privacy impact assessment is required for electronic information collections of PII. Section 1 of DD Form 2930, "Privacy Impact Assessment (PIA)" (located at: <https://www.esd.whs.mil/Directives/forms/>) must be made publicly accessible in accordance with DoDI 5400.16, unless such publication would raise security concerns or reveal classified or sensitive information. A privacy impact assessment is necessary in order to ensure:

(1) PII is only acquired and maintained when relevant and necessary to accomplish an authorized DoD mission or function.

(2) Supporting information technology being developed and used appropriately protects the privacy of individuals.

f. When an information collection has been approved and licensed with an OMB control number, the collected information must be appropriately maintained and safeguarded.

g. Collections of information for which DoD is a respondent to Congress may also be governed by DoDIs 5400.04 and/or 5545.02.

### **1.3. TEMPORARY PROCEDURES FOR SURVEYS.**

The report control symbol requirement procedures in Volume 1 of DoDM 8910.01 will apply only to surveys for a period of 1 year after the effective date of this instruction, after which time Volume 1 will be cancelled.

## **SECTION 2: RESPONSIBILITIES**

### **2.1. DOD CHIEF INFORMATION OFFICER.**

In addition to the responsibilities in Paragraph 2.5., the DoD Chief Information Officer:

- a. Establishes DoD policy for OSD and DoD information collection activities.
- b. Establishes goals, consistent with critical mission needs, to reduce the number and frequency of DoD information collections, and oversees the accomplishment of the DoD information collection reduction goals.
- c. Approves the DoD ICB and monitors its execution.

### **2.2. UNDER SECRETARY OF DEFENSE FOR PERSONNEL AND READINESS (USD(P&R)).**

In addition to the responsibilities in Paragraph 2.5. and in accordance with procedures prescribed in DoDI 1100.13 and this instruction, the USD(P&R), through the Defense Human Resources Activity, reviews, coordinates, and provides recommendations to the Director, Washington Headquarters Services (WHS) on all surveys that implicate the requirements of Chapter 35, Subchapter I, of Title 44, U.S.C. (i.e., the Paperwork Reduction Act). If the USD(P&R) coordination results in a non-concurrence, the basis for the non-concurrence must be resolved prior to the survey's submission to OMB.

### **2.3. DIRECTOR OF ADMINISTRATION AND MANAGEMENT.**

In addition to the responsibilities in Paragraph 2.5., the Director of Administration and Management issues DoDM 8910.01.

### **2.4. DIRECTOR, WHS.**

Under the authority, direction, and control of the Director of Administration and Management, and in addition to the responsibilities in Paragraph 2.5., the Director, WHS:

- a. Develops and maintains DoDM 8910.01 consistent with this instruction.
- b. Establishes an activity for DoD collections of information that implicate the PRA to:
  - (1) Serve as the DoD Clearance Office (DoD CO) and the office of record for DoD collections of information implicating the PRA, in accordance with this issuance and DoDM 8910.01.
  - (2) Develop and coordinate the DoD ICB.

(3) In the capacity as the DoD CO, process and certify DoD collections of information implicating the PRA and approve emergency processing requests to OMB, in coordination with the Office of the DoD CIO, as appropriate.

## **2.5. OSD AND DOD COMPONENT HEADS.**

The OSD and DoD Component heads:

a. Collect information consistent with the requirements in OMB Memorandum M-13-13 and subsequently issued OMB guidance and DoDM 8910.01. To meet these requirements, OSD and DoD Component heads must:

(1) Design new collections of information 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, 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, to minimize restrictions, as appropriate, on copying, publishing, distributing, transmitting, adapting, or otherwise using the information for non-commercial, or for commercial purposes if the data is made public.

b. To reduce costs and burden and ensure the data is not duplicated or unnecessarily generated, OSD and DoD Components heads must:

(1) Ensure that users justify new collections of information by verifying the information is not already available from other sources.

(2) Evaluate and screen each data element in a newly proposed collection of information against information in existing collections of information, to determine whether such existing information can satisfy the requirement.

c. Determine whether information collected is releasable from the OSD or DoD Component to other Federal Agencies, consistent with Section 3510 of Chapter 35 of Title 44, U.S.C.

d. Submit all DoD surveys with PRA requirements to the USD(P&R) through the Defense Human Resources Activity for review and coordination, in accordance with DoDI 1100.13.

e. Establish an activity for collections of information that implicate the PRA under the OSD or DoD Component's Chief Information Officer or elsewhere in the organization as appropriate. An OSD or DoD Component PRA liaison will be designated in accordance with DoDM 8910.01 and positioned under this activity. The OSD or DoD Component PRA liaison:

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

(2) Ensures collections of information requiring the collection of PII are coordinated with their Component's Privacy and Civil Liberties Office, in accordance with DoDI 5400.11.

(3) Ensures electronic collection of PII is conducted in accordance with DoDI 5400.16.

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

(5) Ensures that records created during the information collection effort are maintained, used, preserved, and disposed of in accordance with DoDI 5015.02.

(6) Ensures information collected is in accessible formats and methods, in accordance with DoDM 8400.01.

(7) Provides for the efficient and effective management, control, and safeguarding of collected information.

(a) Requests for information, including information collected via an information technology system or an electronic format, must be appropriately safeguarded during transmission, storage, and processing in accordance with DoDIs 8170.01, 8500.01, and 8510.01.

(b) Collections of information that require special handling, such as classified and control unclassified information, must be protected from unauthorized disclosure in accordance with DoDIs 5200.01 and 5200.48.

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

(9) Ensures any collection of social security numbers is justified and approved in accordance with DoDI 1000.30.

(10) Submits requests for collection of information with PRA requirements to the DoD CO in the WHS Office of Information Management, in accordance with DoDM 8910.01.

f. Establishes goals, as appropriate, consistent with critical mission needs to reduce the number or frequency of their Component's internally prescribed collections of information.

g. Ensures collections of information are assessed and, when feasible, takes necessary action to:

(1) Discontinue unnecessary collections of information; or

(2) Modify the collection of information in order to reduce burden.

## GLOSSARY

### G.1. ACRONYMS.

<b>ACRONYM</b>	<b>MEANING</b>
CFR	Code of Federal Regulations
DoD CO	DoD Clearance Office
DoDD	DoD directive
DoDI	DoD instruction
DoDM	DoD manual
ICB	information collection budget
OMB	Office of Management and Budget
PII	personally identifiable information
PRA	Paperwork Reduction Act of 1995
U.S.C.	United States Code
USD(P&R)	Under Secretary of Defense for Personnel and Readiness
WHS	Washington Headquarters Service

### G.2. DEFINITIONS.

Unless otherwise noted, these terms and their definitions are for the purpose of this issuance.

<b>TERM</b>	<b>DEFINITION</b>
<b>burden</b>	<p>Defined at Section 3502(2) of Title 44, U.S.C. and Part 1320.3 of Title 5, CFR: The total time, effort, or financial resources expended by persons to generate, maintain, retain, or provide information to or for a Federal Agency, including:</p> <ul style="list-style-type: none"> <li>Reviewing instructions.</li> <li>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.</li> <li>Adjusting the existing ways to comply with any previously applicable instructions and requirements.</li> </ul>



**TERM**

**DEFINITION**

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**

Defined at Section 3502(3) of Title 44, U.S.C.: The obtaining, causing to be obtained, soliciting, or requiring the disclosure to third parties or the public, of facts or opinions, regardless of the form or format, calling for either—(i) answers to identical questions posed to, or identical reporting or recordkeeping requirements imposed on, 10 or more persons, other than agencies, instrumentalities, or employees of the United States; or (ii) answers to questions posed to agencies, instrumentalities, or employees of the United States which are to be used for general statistical purposes. Section 3518(c)(1) of Title 44, U.S.C. excludes specific types of collections from this definition. Refer to Part 1320.3(c) of Title 5, CFR for further guidance.

**ICB**

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. The ICB is a projection by each Federal Agency of the total number of burden hours it intends to require from the public to provide it with information. It is an estimate of the time necessary for individuals, businesses, and organizations to collect, record, submit, and maintain records of information provided to the Federal Government. The sum of all agencies' ICBs is the ICB for the Federal Government.

**information**

Defined at Part 1320.3(h) of Title 5, CFR: Any statement or estimate of fact or opinion, regardless of form or format, whether in numerical, graphic, or narrative form, and whether oral or maintained on paper, electronic or other media. Refer to Part 1320.3(h) of Title 5, CFR for further guidance, including items not generally considered "information."

**PII**

Defined in OMB Circular A-130.

**privacy impact assessment**

The analysis of how information is handled:

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

**TERM**

**DEFINITION**

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.

See DoDI 5400.16 for additional information.

**survey**

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. Surveys may elicit characteristics of a given population, including 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.

## REFERENCES

- Code of Federal Regulations, Title 5, Part 1320
- DoD 5400.11-R, “Department of Defense Privacy Program,” May 14, 2007
- DoD Directive 5106.01, “Inspector General of the Department of Defense (IG DoD),” April 20, 2012, as amended
- DoD Directive 5144.02, “DoD Chief Information Officer (DoD CIO),” November 21, 2014, as amended
- DoD Instruction 1000.30, “Reduction of Social Security Number (SSN) Use Within DoD,” August 1, 2012, as amended
- DoD Instruction 1100.13, “DoD Surveys,” January 15, 2015, as amended
- DoD Instruction 3216.02, “Protection of Human Subjects and Adherence to Ethical Standards in DoD-Conducted and -Supported Research,” April 15, 2020, as amended
- DoD Instruction 5015.02, “DoD Records Management Program,” February 24, 2015, as amended
- DoD Instruction 5200.01, “DoD Information Security Program and Protection of Sensitive Compartmented Information (SCI),” April 21, 2016, as amended
- DoD Instruction 5200.48, “Controlled Unclassified Information (CUI),” March 6, 2020
- DoD Instruction 5400.04, “Provision of Information to Congress,” March 17, 2009
- DoD Instruction 5400.11, “DoD Privacy and Civil Liberties Programs,” January 29, 2019, as amended
- DoD Instruction 5400.16, “DoD Privacy Impact Assessment (PIA) Guidance,” July 14, 2015, as amended
- DoD Instruction 5545.02, “DoD Policy for Congressional Authorization and Appropriations Reporting Requirements,” December 19, 2008
- DoD Instruction 7750.07, “DoD Forms Management Program,” April 19, 2022
- DoD Instruction 8170.01, “Online Information Management and Electronic Messaging,” January 2, 2019, as amended
- DoD Instruction 8500.01, “Cybersecurity,” March 14, 2014, as amended
- DoD Instruction 8510.01, “Risk Management Framework for DoD Systems,” July 19, 2022
- DoD Manual 7750.08, “DoD Forms Management Program Procedures,” February 25, 2020, as amended
- DoD Manual 8400.01, “Accessibility of Information and Communications Technology (ICT),” November 14, 2017
- DoD Manual 8910.01, Volume 1, “DoD Information Collections Manual: Procedures for DoD Internal Information Collections,” June 30, 2014, as amended
- Office of Management and Budget Circular A-130, “Managing Information as a Strategic Resource,” July 28, 2016
- Office of Management and Budget Memorandum M-13-13, “Open Data Policy— Managing Information as an Asset,” May 9, 2013
- Public Law 95–452, “Inspector General Act of 1978” (codified at United States Code, Appendix, Title 5)
- United States Code, Title 44