



Department of Defense **INSTRUCTION**

NUMBER 1100.13

January 15, 2015

Incorporating Change 1, Effective March 31, 2017

USD(P&R)

SUBJECT: DoD Surveys

REFERENCES: See Enclosure 1

1. **PURPOSE.** In accordance with the authority in DoD Directive (DoDD) 5124.02 (Reference (a)) and DoD Instruction (DoDI) 8910.01 (Reference (b)), this instruction:

a. Reissues DoDI 1100.13 (Reference (c)) to establish policies, assign responsibilities, and provide procedures for information collections involving the use of surveys.

b. Implements policies in accordance with the policy and guidance in Reference (b), Volumes 1 and 2 of DoD Manual 8910.01 (References (d) and (e)), DoDI 3216.02 (Reference (f)), part 219 of Title 32, Code of Federal Regulations (Reference (g)), and chapter 35 of Title 44, United States Code, also known as the "Paperwork Reduction Act" (Reference (h)).

c. Assigns responsibilities for coordination of survey requests.

d. Establishes procedures for evaluating and obtaining mandatory review and coordination of survey requests.

e. Provides guidance, information, and standards used during the review of survey requests.

f. Fosters development of effective survey systems.

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 Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities

within the Department of Defense (referred to collectively in this instruction as the “DoD Components”).

(2) Surveys requiring participation of personnel from more than one DoD or OSD Component, including those of Military Service members; Service members’ spouses; family members eligible for DoD benefits; DoD civilians; Service academy students; and survivors of deceased Service members.

(3) Surveys requiring participation of DoD personnel that are requested by an external organization, including State, local, or tribal governments, other federal agencies, or public organizations or individuals, or are called for by law with no direct response to Congress required.

(4) Surveys of members of the public (including government contractors) conducted by any DoD or OSD Component. Public information collections, including surveys, must be developed and processed in accordance with the guidelines in Reference (e).

b. Does **not** apply to:

(1) A DoD or OSD Component conducting a survey of personnel from only one DoD or OSD Component.

(2) The Office of the Inspector General of the Department of Defense in fulfilling its statutory duties and functions.

3. POLICY. It is DoD policy pursuant to Reference (b) that information requirements be formally approved and licensed. The development of any survey requesting participation of personnel from more than one DoD or OSD Component, or a DoD or OSD Component-sponsored survey of members of the public, will be consistent with the policies, principles, and criteria of Reference (b).


4. RESPONSIBILITIES. See Enclosure 2.

5. PROCEDURES. See Enclosure 3.

6. RELEASABILITY. **Cleared for public release**. This instruction is available on the Internet from the DoD Issuances Website at <http://www.dtic.mil/whs/directives>.

7. SUMMARY OF CHANGE 1. The changes to this issuance are administrative and update acronyms for accuracy.

8. EFFECTIVE DATE. This instruction is effective January 15, 2015.


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ENCLOSURE 1

REFERENCES

- (a) DoD Directive 5124.02, “Under Secretary of Defense for Personnel and Readiness (USD(P&R)), June 23, 2008
- (b) DoD Instruction 8910.01, “Information Collection and Reporting,” May 19, 2014
- (c) DoD Instruction 1100.13, “Surveys of DoD Personnel,” November 21, 1996 (hereby cancelled)
- (d) DoD Manual 8910.01, Volume 1, “DoD Information Collections Manual: Procedures for DoD Internal Information Collections,” June 30, 2014, as amended
- (e) DoD Manual 8910.01, Volume 2, “DoD Information Collections Manual: Procedures for DoD Public Information Collections,” June 30, 2014, as amended
- (f) DoD Instruction 3216.02, “Protection of Human Subjects and Adherence to Ethical Standards in DoD Supported Research,” November 8, 2011
- (g) Part 219 of Title 32, Code of Federal Regulations
- (h) Chapter 35 of Title 44, United States Code (also known as the “Paperwork Reduction Act”)
- (i) DoD Directive 5400.11, “DoD Privacy Program,” May 8, 2007, as amended
- (j) Office of People Analytics (OPA) Survey Supporting Statement, current edition
- (k) Office of Management and Budget Supporting Statement, current edition

ENCLOSURE 2

RESPONSIBILITIES

1. UNDER SECRETARY OF DEFENSE FOR PERSONNEL AND READINESS (USD(P&R)). In addition to the responsibilities in section 6, the USD(P&R) coordinates on all proposed survey requests in accordance with the procedures in Enclosure 3 of this instruction.

2. DIRECTOR, DEPARTMENT OF DEFENSE HUMAN RESOURCES ACTIVITY (DoDHRA). Under the authority, direction, and control of the USD(P&R) and in addition to the responsibilities in section 6, the Director, DoDHRA ensures the Director, Office of People Analytics (OPA), carries out his or her responsibilities and functions outlined in this instruction.

3. DIRECTOR, OPA. Under the authority, direction, and control of the Director, DoDHRA, the Director, OPA:
 - a. Recommends to Washington Headquarters Services (WHS) approval or disapproval of survey instruments, survey methods, and other applicable supporting survey materials pursuant to this instruction.

 - b. Develops standards and procedures to be used in the review and approval recommendations of survey instruments, survey methods, and supporting survey materials.

 - c. Promotes the use of best practices in survey development and administration.

 - d. Oversees the implementation of this instruction.

 - e. Upon request, consults in survey design and administration for any DoD or OSD staff element and designated survey offices of the DoD or OSD Components.

 - f. Convenes the Inter-Service Survey Coordinating Committee (ISSCC) to coordinate surveys among OPA, the Military Services, and the Defense Health Agency (DHA).

 - g. Assigns a representative from OPA to chair the ISSCC.

4. DIRECTOR, DHA. Under the authority, direction, and control of USD(P&R), through the Assistant Secretary of Defense for Health Affairs, and in addition to the responsibilities in section 6, the Director, DHA:
 - a. Designates one office within DHA as the point of contact for survey activities of DHA to participate in the ISSCC, and provides contact name, address, and phone number to OPA.

b. Coordinates survey plans with OPA before the development of any survey instrument requiring review under this instruction.

5. DIRECTOR, WHS. Under the authority, direction, and control of the Deputy Chief Management Officer of the Department of Defense, through the Director of Administration, and in addition to the responsibilities in section 6, the Director, WHS:

a. Serves as the office of record and approval authority for DoD internal information collection requirements, including surveys, in accordance with Reference (b).

b. Serves as the DoD clearance office and the office of record for DoD public information collection requirements, in accordance with Reference (b).

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

a. Ensure that their Component responds to only those cross-Component surveys that are conducted in accordance with this instruction.

b. Follow the procedures in Reference (b) when conducting a survey in accordance with this instruction.

c. Establish procedures to conform with this instruction.

7. SECRETARIES OF THE MILITARY DEPARTMENTS. In addition to the responsibilities in Section 6, the Secretaries of the Military Departments:

a. Designate one office within each Military Service to OPA as the point of contact for survey activities to participate in the ISSCC, and provide the contact name, address, and phone number to OPA.

b. Coordinate survey plans with OPA before the development of any survey instrument requiring review in accordance with this instruction.

ENCLOSURE 3

PROCEDURES

1. SURVEYS REQUESTED BY THE DoD OR OSD COMPONENTS. A survey, as defined in Reference (b), requires mandatory USD(P&R) coordination, through the Director, OPA, in accordance with the procedures specified in this enclosure.

a. A survey requesting participation of personnel from more than one DoD or OSD Component or a DoD or OSD Component-sponsored survey of members of the public will be reviewed by USD(P&R), through the Director, OPA, to ensure that:

(1) The survey minimizes exposure of DoD personnel, Service members' families, and members of the public to unwarranted information collection (e.g., survey solicitations).

(2) The survey is the best means to produce the most valid information with the least burden to individual personnel or participating DoD or OSD Components.

(3) Adequate safeguards are in place to ensure the consent of the individual before any personal information (written or oral) is solicited or collected, in accordance with DoDD 5400.11 (Reference (i)).

(4) Procedures are in place to protect the identification of the survey respondent's data from disclosure.

(5) It meets the standards required by OPA or the Office of Management and Budget (OMB), according to the guidelines in the OPA Survey Supporting Statement (Reference (j)) or OMB Supporting Statement (Reference (k)).

b. The requesting DoD or OSD Component must contact their information management control officer (IMCO), who will help coordinate development, submission, review, and approval of all survey documents and ensure that:

(1) The available information, including results of past surveys of the same or similar individuals, is not adequate to fill the need in accordance with Reference (b).

(2) Current approved and licensed surveys cannot provide the required information, in accordance with Reference (b).

c. The requesting DoD or OSD Component must request a review of the survey via the following link: dodhra.dodc-mb.dmdc.mbx.webmaster@mail.mil.

d. When contacted by OPA, the requesting OSD or DoD Component submits the collection instrument, supporting materials (e.g., copies of survey letters or emails), OPA survey supporting

statement or OMB supporting statement, and DD Form 2936, "Request for Approval of DoD Internal Information Collections" (if applicable).

e. Upon receipt of all required documentation, OPA will conduct its initial review of the survey within 15 working days and assist the requesting DoD or OSD Component, as necessary.

(1) Additional reviews may be necessary depending on the complexity of the survey's subject, methodology, or statistical design.

(2) If OPA determines the data collection does not meet the definition of a survey in this instruction, OPA will indicate their exempt determination either on the DD Form 2936 or by memorandum, as required in Reference (b). However, OPA may review the documentation and provide feedback on the exempted survey if requested by the DoD or OSD Component.

(3) An OPA exempt determination does not exempt the requesting DoD or OSD Component from obtaining a valid report control symbol (RCS) or OMB control number as required in Reference (b).

f. Upon review of the survey, an OPA representative will forward a memorandum recommending approval of the survey, the OPA or OMB supporting statement, the collection instrument, any supporting materials, and the signed DD Form 2936, if applicable, to the requesting DoD or OSD Component. Upon receipt of all mandatory coordinations, the requesting DoD or OSD Component must send the materials outlined in Reference (d) or Reference (e) to WHS for issuance of a valid RCS or submission to OMB for an OMB control number.

g. If OPA recommends disapproval, OPA will forward a memorandum with their non-concur to the requesting DoD or OSD Component documenting the reason for the decision. Resolving the recommended disapproval may consist of:

(1) Informal or formal exchanges by phone, e-mail, or memorandum that involve ISSCC members, the DoD or OSD Component's IMCO, or other DoD or OSD Component senior leadership.

(2) An OPA memorandum to the USD(P&R) requesting a final decision on the recommendation to disapprove. Without USD(P&R) recommended approval, the survey will not be approved by the Director, WHS, for an RCS license or submitted to OMB for an OMB control number.

h. All surveys covered by this instruction must display at least one clearance number, such as an RCS license or OMB control number.

i. OPA review of a survey is not a substitute for review by an institutional review board (IRB) or human subjects' protection program officer in accordance with Reference (f), nor is survey review by an IRB or human subjects' protection program officer a substitute for OPA review.

2. ISSCC MEMBERSHIP

- a. ISSCC membership will consist of a representative from OPA, each of the Military Services (Army, Navy, Air Force, and Marine Corps), and DHA.
- b. The ISSCC is chaired by a representative from OPA, who may request representation from other organizations as necessary.
- c. ISSCC representatives will brief survey topics and planned dates of its surveys to fellow ISSCC members.
- d. The ISSCC will meet at least semi-annually or when called by the chair.

GLOSSARY

PART I. ABBREVIATIONS AND ACRONYMS

DHA	Defense Health Agency
DoDHRA	Department of Defense Human Resources Activity
DoDD	DoD Directive
DoDI	DoD Instruction
IMCO	information management control officer
IRB	institutional review board
ISSCC	Inter-Service Survey Coordinating Committee
OMB	Office of Management and Budget
OPA	Office of People Analytics
RCS	report control symbol
USD(P&R)	Under Secretary of Defense for Personnel and Readiness
WHS	Washington Headquarters Services

PART II. DEFINITIONS

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

burden. Defined in Reference (b).

need. Some programmatic or policy necessity or requirement exists.

survey. Defined in Reference (b).

survey instrument. A tool that consistently implements a scientific protocol for obtaining data from respondents. An instrument typically involves a questionnaire or survey and provides a script or instructions for presenting a standard set of questions and response options.

survey results. Any compilation of data or information gathered through use of a survey.

survey requestor. Any DoD or OSD Component that may benefit from or has a direct interest in the survey results. Requestors may or may not fund survey projects, but they are always responsible for survey content.

unnecessary duplication. Surveys that are alike or corresponding to information that is already available to serve the organization's purpose or need.