BY ORDER OF THE SUPERINTENDENT

AIR FORCE INSTRUCTION 36-2601

HQ UNITED STATES AIR FORCE ACADEMY
Supplement 1

12 APRIL 2005

Personnel

AIR FORCE PERSONNEL SURVEY PROGRAM

COMPLIANCE WITH THIS PUBLICATION IS MANDATORY

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Supersedes USAFAI36-2601, 27 October 2000

Pages: 5
Distribution: F

This supplement implements and extends the guidance for **Air Force Instruction (AFI) 36-2601, Air Force Personnel Survey Program, 01 February 1996** at the United States Air Force Academy (USAFA) and references AFI 35-101, *Public Affairs Policies and Procedures,* Department of Defense Regulation (DODR) 5400.7/Air Force (AF) Supplement, *DOD Freedom of Information Act Program,* AFI 33-332, *Privacy Act Program,* and AFI40-402_USAFASUP 1*, Protection of Human Subjects in Biomedical and Behavioral Research*. The Office of Primary Responsibility (OPR) for this supplement is Plans and Programs, Research and Assessment Division (HQ USAFA/XPX). It provides guidance on the approval and administration of all surveys at the USAFA. The USAFA survey program is structured to ensure individual responses are protected and that no adverse actions result from responses to an official USAFA survey. This supplement applies to all Air Force military and civilian personnel (includes US Air Force Reserve (AFRC), Air National Guard (ANG) units, and Civil Air Patrol (CAP) members) at USAFA. Refer recommended changes and conflicts between this and other publications to HQ USAFA/XPX, 2304 Cadet Drive, Suite 300, USAF Academy CO 80840, on AF Information Management Tool (IMT) 847, **Recommendation for Change of Publication**. Ensure that all records created as a result of processes prescribed in this publication are maintained in accordance with AFMAN 37-123, *Management of Records,* and disposed of in accordance with the Air Force Records Disposition Schedule (RDS) located at **https://webrims.amc.af.mil**.

SUMMARY OF REVISIONS

This document has been revised as a supplement to AFI 36-2601 and supersedes USAFAI 36-2601, dated 27 October 2000. It delineates the responsibilities of the USAFA Survey Program, clarifies public policy for the release of survey results, modifies responsibilities for data and record retention, and provides survey review guidelines for survey developers. The General Survey Answer Sheet, USAFA Form 159 is now obsolete.

1.7. (Added) The USAFA Survey Program has oversight of all surveys (to include polls, questionnaires, interviews, customer service polls, or any other means of collecting attitude, opinion, preference or intent data) conducted on USAFA or involving USAFA personnel except:

1.7.1. (Added) Surveys administered solely within a classroom or multiple sections of a common course by instructors or cadets for the purpose of demonstrating course-related concepts to enhance academic learning. Cadets should not administer course-developed surveys outside of the classroom without appropriate approval.

1.7.2. (Added) Post experimental questionnaires that provide feedback about an experimental experience rather than being used as a data collection instrument related to the experimental hypothesis.

1.7.3. (Added) Customer satisfaction surveys for products or service if the sole purpose is to ask about the product or service.

1.8. (Added) Surveys directed and administered by higher headquarters, such as Department of Defense (DoD), Office of Management and Budget (OMB), or HAF, while not overseen by the USAFA Survey Program, should be coordinated through the USAFA Survey Program.

2. **Survey Request and Approval Procedures.**

2.8. (Added) All surveys must have a Project Officer and must receive formal approval through HQ USAFA/XPX prior to administration. The Project Officer will request approval by providing the following information to the USAFA Survey Control Officer at least six weeks prior to the planned administration of the survey (an electronic version can be submitted using the following link: **http://www.usafa.af.mil/xp/xpx/request.html**):

2.8.1. (Added) Project Officer Information. Name, title, office symbol, telephone number, fax number, duty or organizational address, and e-mail address. Only USAFA personnel may be Project Officers.

2.8.2. (Added) Purpose and Justification for the Proposed Project. Describe the rationale for conducting the survey. Clearly state the goals and the outcomes the Project Officer expects to achieve from the project. It must be clearly stated if the survey will be used in partial fulfillment of an academic degree or professional certification program or for research purposes.

2.8.3. (Added) Statement of Benefit. Describe how the Project Officer's organization and the Academy will benefit by the proposed project. Project Officers should identify what benefits they expect to gain via Academy support.

2.8.4. (Added) Type of Academy Support Required. Clearly specify the type and level of Academy support required for the project.

2.8.5. (Added) Sample Size and Sample Selection Method. Specify the number of individuals that will be contacted for data collection and how they will be selected for participation.

2.8.6. (Added) Data Collection Method, Frequency of Administration, and Analysis Plan. Describe in detail the method used for collecting data; i.e., paper and pencil, focus group interviews, or electronic methods such as e-mail or web survey. Also indicate the frequency of data collection. Describe in detail what process or statistical software will be used to include how the data will be analyzed. Clearly identify the scope of any collaboration with non-USAFA personnel and how the data will be protected.

2.8.7. (Added) Timeframe. Specify the proposed dates for administration of data collection instruments.

2.8.8. (Added) Use of Results. Specify how and when the aggregate results will be used. Examples include internal organizational use, presentations, an article published in a refereed professional journal, master's thesis, doctoral dissertation, or research report.

2.8.9. (Added) Feedback Plan. Describe how and when the respondents and leadership will receive aggregate survey results. Provide the USAFA Survey Control Officer with a copy of any briefings, talking papers and (or) results of the survey.

2.8.10. (Added) Copy of Instrument. Provide a paper and electronic copy (if available) of the instrument(s) and any accompanying directions, answer sheets, etc.

2.9. (Added) Additional coordination and approval requirements for various populations are shown in **Table 1.**

Table 1. Coordination Requirements.

	USAFA/CC	34 TRW/CC	USAFA/DF	USAFA/PL	10 MSS/DPCL and Union AFGE Local 1867	USAF Survey Program HQ AFPC	OMB AFCA/ITC *see note
Cadets outside of academic time	X	X					
Cadets during academic time	X		X				
Preparatory School Cadet Candidates	X			X			
Active duty military stationed at USAFA	X						
Active duty military stationed elsewhere						X	
DAF/NAF civilians at USAFA	X				X		
DAF/NAF civilians elsewhere						X	
Other Civilian personnel (i.e. – family members of retirees, government contractors, candidates for admission, members of the general public)	X						X
Family members of active duty at USAFA or retired military personnel accessing USAFA services	X						
NOTE: *Contact USAFA Records Management (10 CS/SCRIR) for necessary guidance. 10 CS/SCRIR will forward the approval package to AFCA/ITC.*							

2.10. (Added) The USAFA Survey Control Officer will review the survey request and make recommendations, as required, to the survey Project Officer. The Survey Control Officer will provide recommendations on the survey to the Director of Plans & Programs who may:

2.10.1. (Added) Approve the survey on behalf of the Superintendent, if the proposed survey does not address sensitive subject areas or areas of "high institutional interest" (e.g., honor, sexual assault, climate and cultural issues).

2.10.2. (Added) Forward a recommendation on survey approval to the Superintendent.

2.10.3. (Added) Refer the survey to the USAFA Assessment Board.

2.10.4. (Added) Disapprove the survey or recommend disapproval to the Superintendent.

2.11. (Added) When a survey is approved, the USAFA Survey Control Officer issues a USAFA Survey Control Number (SCN) to the survey Project Officer. The issued SCN must appear on the first page of every distributed survey. USAFA Survey Control Numbers are valid for one year from the date of issue.

2.12. (Added) Any modifications to the survey after an SCN is issued must be coordinated with the Survey Control Officer.

3.10. (Added) **USAFA Survey Control Officer.**

3.10.1. (Added) Develops and implements procedures for survey control at USAFA.

3.10.2. (Added) Coordinates a technical review of surveys with survey design experts and provides advice for USAFA organizations relating to the design, administration, analysis and feedback plan of surveys.

3.10.3. (Added) Coordinates with Air Force Personnel Center, Customer Assistance Directorate, Survey Branch (AFPC/DPSAS) for requests by private individuals or organizations to survey, poll, or interview USAFA personnel.

3.10.4. (Added) Maintains for 25 years, a current and historical listing of all surveys conducted at USAFA. Also maintains and stores the original survey instrument and products in the USAFA survey repository to include the survey instrument, survey plan, data elements, feedback measures, and all reports or briefings.

3.10.5. (Added) Ensures survey requesters are aware that all survey data collected may be releasable under the Freedom of Information Act (FOIA) (see AFI 35-101).

3.10.6. (Added) Assigns Survey Control Numbers.

3.11. (Added) **Survey Project Officer.**

3.11.1. (Added) Develops a survey using sound practices. Links the survey goals with the content of the data collection instrument. Ensures that the data collected will address the project's stated goals and expected outcomes. Plans adequate time for proper survey development, administration, analysis and feedback processes. Ensures the survey instrument is professional in appearance. Use Attachment 1, *Survey Development Guidelines*, to ensure the best possible survey and survey sample.

3.11.2. (Added) Plans adequate time for and properly coordinates the necessary approval from USAFA organizations involved in a survey's administration.

3.11.3. (Added) Submits a written or electronic request for a USAFA SCN to HQ USAFA/XPX.

3.11.4. (Added) Avoids, if at all possible, asking personal information (e.g., SSN, ethnic category, gender). Any survey requiring SSN must comply with AFI 33-332, *Air Force Privacy Act Program* and provide a Privacy Act Statement. A sample Privacy Act Statement is available at: **http://www.usafa.af.mil/xp/xpx/privacy.html**.

3.11.5. (Added) Meets ethical requirements (such as voluntary participation, mandatory debrief or feedback, etc.) for survey administration. Does not communicate, either verbally or in writing, any information that could reasonably allow identification of individual survey respondents to any individual or group either within or outside USAFA. Ensures no administrative action is taken against any individual as a result of his or her responses to a survey or election not to participate in a survey.

3.11.6. (Added) Reproduces the survey in necessary quantities. If using a commercial survey, secures permission to use the survey.

3.11.7. (Added) Notifies all participants of administration information to ensure efficient use of respondents' time and the collection of quality data. If group administration is desired, obtains suitable location and time for survey and all other support required for the administration (e.g., audio-visual support).

3.11.8. (Added) Provides survey feedback or findings as established in paragraph **2.8.10. (Added)**

3.11.9. (Added) Maintains, stores and archives a copy of the survey, to include the survey instrument, data elements, feedback measures, and all reports or briefings for a period of 3 years.

3.12. (Added) **Researchers.** Researchers must comply with AFI 40-402, USAFA Supplement 1. Surveys used in research must be coordinated with HQ USAFA/XPX for the purpose of assigning a USAFA SCN and is separate from the Institutional Review Board (IRB) review and approval process. Research protocols containing surveys as data collection instruments must be submitted 2 weeks prior to the published submission deadline on the USAFA IRB website.

4.3. (Added) All approved surveys must show some form of current authorization from OMB, DoD, or must reflect a USAF or USAFA SCN. An unauthorized survey is one sent to an official USAFA address or e-mail address or administered at USAFA without the approvals detailed in this instruction.

4.4. (Added) USAFA personnel who receive an unauthorized survey should notify the USAFA Survey Control Officer immediately.

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Director of Staff