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SECRETARY OF THE AIR FORCE**



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Manpower and Personnel

AIR FORCE SURVEY PROGRAM

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(Dr. Anthony C. Cain)

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This instruction implements AAFP 38-2, *Manpower*, Mar 2, 1995, and DoDI 1100.13, *Surveys of Department of Defense Personnel*, Nov 21, 1996. This instruction applies to individuals at all levels who prepare, manage, review, certify, approve, and/or disseminate, official attitude and opinion surveys to members of the Air Force, which includes the Air Force Reserve, and Air National Guard. It provides guidance on approving and conducting surveys within the Air Force. The program's objective is to assess the attitudes, opinions, and intentions of Air Force military and civilian members, their families, and retired members, using questionnaires, polls, and interviews. The program is structured to ensure individual responses are confidential and no adverse actions will result from an individual's response to an official Air Force survey. Do not issue supplements without advance approval of the Air Force Manpower Agency, Performance Management Division, AFMA/MAP, 550 E Street East, Randolph AFB TX 78150, and in accordance with AFI 33-360, *Publications and Forms Management*. Refer recommended changes and questions about this publication to the Office of Primary Responsibility (OPR), using the AF IMT 847, *Recommendation for Change of Publication*; route AF IMT 847s from the field through the appropriate functional's chain of command. Ensure that all records created as a result of processes prescribed in this publication are maintained in accordance with Air

Force Manual (AFMAN) 33-363, *Management of Records*, and disposed of in accordance with Air Force Records Information Management System (AFRIMS) Records Disposition Schedule (RDS) located at <https://www.my.af.mil/gcss-af61a/afirms/afirms/>.

(AU) This supplement implements AFI 38-501, *Air Force Survey Program*. It also addresses guidance contained in CJCSI 1800.01, *Process for Accreditation of Joint Education*, and AFMAN 36-2234, *Instruction System Development*. It establishes guidance to conduct the Air University human subjects research program. This supplement complies with the Code of Federal Regulations, 32 CFR 219, *Protection of Human Subjects*, and AFI 40-402, *Protection of Human Subjects in Biomedical and Behavioral Research*. Refer recommended changes and/or corrections to this publication to the Office of Primary Responsibility (OPR) using the AF Form 847, *Recommendation for Change of Publication*, through your chain of command. Affected organizations may develop local publications to implement/supplement guidance contained in this instruction. Submit draft local publications to HQ AU/CFAE for coordination prior to approval. Provide a copy of approved local publications to HQ AU/CFAE. Waivers to guidance in this publication are not authorized.

(AU) Ensure that all records created as a result of processes prescribed in this publication are maintained in accordance with AFMAN 33-363, *Management of Records*, and disposed of in accordance with the Air Force Records Information Management System (AFRIMS) Records Disposition Schedule (RDS). This publication applies to all human subjects research and program evaluation surveys conducted by Air University (AU) or Air Force Institute of Technology (AFIT) students, faculty, staff or external researchers who seek to gather data from participants who are under the purview of the AU Commander.

SUMMARY OF CHANGES

(AU) This document has only been modified to reflect the renumbering and redesignation of AFI 36-2601 to AFI 38-501. No substantive changes were made.

Chapter 1

SCOPE OF PROGRAM

1.1. Scope of the Program. The Air Force Manpower Agency (AFMA) controls and provides all attitude and opinion surveys, polls, questionnaires, and telephone interviews to Air Force members.

1.1.1. Controls, conducts, and approves survey research and program evaluation at the Air Force level.

1.1.1. **(AU) NOTE:** Definition of research: According to 32 CFR 219.102(d) and AFI 40-402, “research” is defined as a systematic investigation—including research development, testing and evaluation—designed to develop or contribute to generalizable knowledge. Activities meeting this definition constitute research for purposes of this policy, whether or not they are conducted or supported under a program considered research for other purposes. For example, some demonstration and service programs may include research activities. Purpose of research: AU ensures research involving human participants is conducted in accordance with federal law and Air Force published policies. This supplement provides detailed information to AU students, faculty, staff and others who intend to conduct research using data collected from participants under the purview of the AU Commander.

1.1.2. Provides oversight by ensuring surveys meet mission requirements and fulfill the information needs of functional authorities.

1.1.3. Issues Survey Control Number (SCN) for approved survey requests submitted by Air Force organizations, contracted individuals, or organizations.

1.2. (Added-AU) This instruction applies to all research conducted by AU or AFIT students, faculty, staff or external researchers who seek to gather data from participants who are under the purview of the AU Commander. All research that requires human participants or data on students, faculty or staff should be approved through the Air University Institutional Effectiveness office (HQ AU/CFAE).

Chapter 2

RESPONSIBILITIES

2.1. Responsibilities. All personnel shall maintain strict confidentiality concerning the identity of individual survey respondents. Do not communicate, either verbally or in writing, information that could reasonably allow identification of individual survey respondents to any individual or agency, either within or outside the Air Force. Do not take any adverse or administrative action against an individual as a result of his or her responses to an official Air Force survey.

2.2. Survey Participants. Provide responses to surveys accurately and honestly to provide the best possible data for analysis. Classified information, however, may not be included in any response to a survey. Survey participation is voluntary and personnel should be encouraged, but not directed, to complete surveys.

2.3. HQ USAF/A1M, Director Manpower, Organization and Resources. Develop policies for the Air Force Attitude and Opinion Survey Program within the scope of this instruction.

2.4. HQ USAF/A1PF, Director Force Management Division. Approve and conduct surveys to support selection, classification and Force Management analysis.

2.5. MAJCOMFOADRU/A1M. Provide survey support to AF Survey Office such as marketing, collection of data and distribution of final results.

2.6. AFMA/MAPP, AF Survey Office.

2.6.1. Develop and implement procedures for survey operations, including Department of Defense (DoD) surveys conducted within the Air Force under DoDI 1100.13, *Surveys of DoD Personnel*.

2.6.2. Plan, approve, evaluate, coordinate, and provide oversight of attitude and opinion surveys.

2.6.3. Develop and administer attitude and opinion surveys.

2.6.4. Analyze and report survey findings in appropriate formats as requested by HQ USAF functional authorities.

2.6.5. Advise Air Force organizations on survey administration, processes, and analysis.

2.6.6. Represent the Air Force on the Inter-Service Survey Coordinating Committee IAW DoDI 1100.13, *Surveys of DoD Personnel*.

2.6.7. Inform survey requesters that all survey data collected may be releasable to the public under the Freedom of Information Act (FOIA) and to consider OPSEC implications (paragraph 5.2.6).

2.6.8. Provide advisory oversight on issues, such as over-surveying certain populations and creating possible survey fatigue.

2.6.9. Review requests for surveys and, where appropriate, issue a SCN.

2.6.9.1. Refer surveys in psychological assessment category to HQ USAF/A1PF for further action.

2.6.9.2. Refers activities that could constitute research with human subjects to an AF Research Reviewer or an AF Institutional Review Board (IRB), as appropriate, for further action prior to initiation. See paragraph 4.3.1.

2.7. Installation and Unit Commander.

2.7.1. Approve administration of local surveys at his/her base, providing the commander has the authority to change the survey topics addressed. If the survey includes questions about policy or procedures mandated by HQ USAF and above, such as satisfaction with pay, benefits, or retention issues, etc., then forward the survey to the AF Survey Office for review and approval. If there are questions concerning the appropriateness of a survey, commanders should consult with the installation public affairs officer and/or the AF Survey Office.

2.7.2. Coordinate surveys that include Air Force civilians with the Civilian Personnel Office to determine union impact.

2.7.3. Disapprove requests from private individuals or organizations without federal funding or other support to conduct a poll, survey, or interview within his/her command, unless specific authorization is granted from the AF Survey Office. Exceptions are listed under paragraph 3.11.

2.7.4. **(Added-AU)** Air University Responsibilities:

2.7.4.1. **(Added-AU)** All surveys and other instruments administered within AU to students, faculty, staff, or others, must have a survey control number (SCN). Send research requests to HQ AU/CFAE for review, assignment of an AU SCN, and/or transmittal to HQ AFMA/MAPP for approval as required.

2.7.4.1.1. **(Added-AU)** AFIT students should route instruments through the AFIT Plans and Programs Office. AFIT Graduate students should route instruments through the AFIT/EN Survey Control Panel. AFIT students will follow AFIT procedures unless they are conducting studies with students, faculty or staff at the other AU schools. Then, this supplement applies.

2.7.5. **(Added-AU)** Approval Authority: The AU Commander and President is the final approval authority for determining whether or not the students, faculty, staff or others assigned to AU should be asked participate in a survey, focus group, interview, or be administered any other instrument for institutional, academic or other external research. These instruments must conform to the requirements of AFI 38-501. To ensure compliance, the Air University Commander appoints a survey control officer (SCO)

2.7.6. **(Added-AU)** AU Survey Control Officer (SCO). The SCO is responsible for reviewing research requests and materials; providing assistance to instrument developers; assigning survey control numbers (SCN); monitoring approved research; maintaining copies of instruments and correspondence about surveys and instruments administered within AU; facilitating approval processes with the Air Force Survey Center, Institutional Review Boards, and other agencies; and acting as liaison for survey and instrument administration requests within AU and with external agencies. The Chief of Institutional Effectiveness (HQ AU/CFAE) is designated the Survey Control Officer for AU.

2.7.7. **(Added-AU)** AU Academic Office. AU's Chief Academic Officer (HQ AU/CF) is responsible for operational oversight of AU research program. HQ AU/CF provides support

for research by ensuring the efficient and safe conduct of surveys and other research instruments within Air University.

2.7.7.1. **(Added-AU)** Institutional Review Board. Research requiring approval of an Institutional Review Board should be coordinated with AU Academic Affairs through the Institutional Effectiveness office (AU/CFAE). Principle investigators should follow the guidance in paragraph 2.8 of this supplement and submit the package to AU/CFAE. Allow several months to complete the approval process.

2.7.8. **(Added-AU)** Commander/Commandant of College/School. For all instruments that have been assigned a SCN, the school's Commander or Commandant is the approving authority for determining whether or not the students, faculty, staff or others under his/her purview should participate in a survey, research, or be administered any other research instrument and will determine the appropriate timing for their administration.

2.7.9. **(Added-AU)** Exceptions. Final approval authority for external studies and for institutional research, conducted by the AU Academic Office for the purposes of developing institutional effectiveness data, is the AU Commander.

2.7.10. **(Added-AU)** Administration. HQ AU/CF-initiated institutional research studies will be conducted as required, but care will be taken to minimize the impact on students, faculty and staff throughout the university. Passive data collection will be done when possible.

2.7.11. **(Added-AU)** Multi-school Studies. In cases where multiple schools are asked to participate, each commander/commandant should agree to the administration and timing. This should be coordinated by the chief program evaluation POC(s) of each participating academic center.

2.7.12. **(Added-AU)** AU Schools/Programs. The following policies apply:

2.7.12.1. **(Added-AU)** Functional OPR for administration of instruments within AU: The chief program evaluation POC at each AU school, academic center, or organization is designated the functional OPR for administration of surveys and other data collection instruments/methods. He/she coordinates and monitors unit-level approval, scheduling and data collection for surveys and other instruments bearing a USAF, AU, or OMB SCN. The program evaluation POC should have a letter of appointment on file with HQ AU/CFAE in accordance with AUI 36-2312, *Air University Assessment Programs*. Only instruments with an SCN are authorized for administration and should have a USAF SCN, AU SCN, or OMB number as appropriate. **NOTE:** When surveying civilian employees, Civilian Personnel Officer and CPF for labor, union notification letters are required.

2.7.12.1.1. **(Added-AU)** The OPR ensures the assigned SCN is placed at the top of the first page of the survey. Air Force SCNs should be displayed: USAF SCN # xx-xxx Expiration Date: dd/mmm/yy; Air University SCNs should be displayed: AU SCN # xx-xxx Expiration Date: dd/mmm/yy. HQ AU/CFAE will provide assistance for other authorizing control numbers.

2.7.12.1.2. **(Added-AU)** The POC should ensure, at completion of the research study, that a copy of the raw dataset and report of results are forwarded to HQ AU/CFAE for archiving. (Electronic copies are preferred).

2.7.12.1.3. **(Added-AU)** Research instruments for administration to participants external to AU are approved by the Air Force survey control office (HQ AFMA/MAPP), since these participants are not under purview of the AU commander. This includes surveying spouses of students, unless they are assigned to/employed by AU. Originator should forward the survey request package, as outlined in paragraph 2.8 of this supplement, to HQ AU/CFAE for content/structural review and transmittal. HQ AFMA/MAPP will review the package for compliance with published policies, approval, and assignment of an Air Force SCN. Copies of these surveys should be kept on file with HQ AU/CFAE.

2.7.12.1.4. **(Added-AU)** AFIT Student Research: AFIT students using instruments to gather data from participants assigned to AU campuses, excluding AFIT, should follow the procedures in paragraph 2.8 of this supplement. Research conducted on AFIT campuses should follow procedures published by AFIT/RPX.

2.7.12.1.5. **(Added-AU)** Faculty/Administrators. Instruments developed by AU administrators, faculty, or staff, in support of program evaluation, including attitude or opinion surveys of AU students, faculty, staff, or others assigned to an AU school/unit, graduates and supervisors of graduates should be coordinated through the school's program evaluation POC. The POC should send an electronic copy of surveys/instruments and a brief summary statement of the purpose of the study and how the results will be used, to HQ AU/CFAE for review and assignment of an AU SCN. The full requirements of paragraph 2.8 of this supplement are not required for internal program evaluation studies. Work this on a case-by-case basis with AU/CFAE.

2.7.12.1.6. **(Added-AU)** Students. Instruments developed by AU students, in support of official research projects related to an AU/AFIT program of study, including attitude or opinion surveys of AU/AFIT students, faculty, staff, or others assigned to any AU school/unit should be coordinated through the originator's college POC. The college POC will submit the instrument to obtain the appropriate SCN. Paragraph 2.8 of this supplement applies to academic projects.

2.7.12.1.7. **(Added-AU)** Air University Student and Faculty Assistance. Initiate assistance in administering an approved survey from the academic center/college program evaluation POC. The POC will provide guidance and/or assistance for activities such as building electronic surveys, preparing participant lists, developing data collection systems, drawing data from existing databases, obtaining permission to conduct the survey, using analysis software, etc.

2.7.12.1.8. **(Added-AU)** Communities of Practice and other tools. Communication technology is advancing too rapidly to include a definitive list with corresponding guidelines in a policy document. When opinions, knowledge or ideas are gathered as part of the activities undertaken by a professional development association or similar voluntary organization of peers, SCNs generally are not required. However, protection of individuals IAW AFI 33-332, *The Air Force Privacy and Civil Liberties Program*, compliance with AFI 38-501 and AFI 40-402 is mandatory. Persons administering instruments or websites are expected to have read and complied with these AFIs prior to gathering information from participants. If questionnaires or

surveys are used on sensitive topics and/or personal identifying information is collected, approval and an SCN are required in advance of administration of the instrument.

2.7.12.1.8.1. **(Added-AU)** SCN Exemptions: AU-sponsored communities-of-practice engaged in knowledge generation and knowledge management activities for the benefit of its own members; message boards, blogs, threaded conversations or other on-line discussion forums that serve the needs of the participants providing the data, etc. If data is collected from participants outside the community, an SCN is required.

2.7.13. **(Added-AU)** Externally developed surveys/instruments for administration within AU. Researchers or officials external to AU schools wishing to administer surveys/instruments within AU schools must first have their survey instrument approved by HQ AFMA/MAPP as outlined in AFI 38-501. Upon approval, forward the request package, including the USAF SCN approval notice, to HQ AU/CFAE who will review and log the USAF SCN. AU/CFAE will coordinate the package with the Chief Academic Officer and AU/CC, and if approved, will forward the package to the POC at the appropriate college/school for the Commandant/Commander's approval and scheduling.

2.8. Mission Support Squadron/Force Support Squadron Commander (FSS/CC). Utilize the Manpower and Organization Section of the Manpower & Personnel Flight for survey support.

Chapter 3

SURVEY DEVELOPMENT

3.1. Guidelines. The following guidelines are provided to assist survey requestors in developing survey projects.

3.2. Pre-Development.

3.2.1. Survey requestors should discuss survey plans with the AF Survey Office before developing a survey to avoid expenditure of monies and duplication of survey projects and to coordinate timelines/ schedules between survey efforts.

3.2.2. All survey collection tools administered via the commercial internet (.net, .com, etc) must be in accordance with AFI 33-129, Web Management and Internet Use, Section 3.7.4.1. To maintain the security, integrity, and accountability of Air Force information on the Web, most public web sites are managed through the Air Force Public Information Management System and private Air Force Web sites through the Air Force portal. Any Air Force Web site hosted on a commercial server (outside the .mil community) requires SAF/XC approval.

3.2.2.1. **(Added-AU)** . Surveys must be administered via the official AU enterprise survey software or through official AU learning management systems. Regardless of delivery platform, all surveys must have an AU SCN prior to administration.

3.3. Survey Utility. To ensure effective survey research, surveys should:

3.3.1. Contribute significantly to the study of relevant Air Force policy or program issues.

3.3.2. Not merely gather information to meet requirements for award of an academic degree or serve as a springboard for future research.

3.3.3. Result in expected benefits to the Air Force clearly outweighing the potential costs (e.g., negative publicity, damage to morale or readiness, time burden on respondents).

3.3.4. Contain questions and issues of an appropriate length to avoid survey fatigue. In addition, certain populations (e.g., deployed members) tend to be surveyed more; therefore, surveys of those populations may be disapproved for that reason.

3.3.5. **(Added-AU)** Provide data required for improvement of AU's educational, research, support, and public service programs.

3.3.6. **(Added-AU)** Provide data that supports the academic research of students and faculty within Air University programs. The research must align with the mission of the university.

3.4. Respondent Anonymity and Confidentiality. Use administrative procedures that protect participant's responses and identity IAW AFI 33-332, *Privacy Act Program*.

3.4.1. **(Added-AU)** Confidentiality. Describe confidentiality procedures for how the researcher should maintain the data. Also, inform prospective participants that even if no personal identifying information will be collected, raw response data and a report of the results will be kept on file with Air University Institutional Effectiveness office (HQ AU/CFAE) and are subject to FOIA requests.

3.4.2. **(Added-AU) Risk.** Description of any risks or benefits participants may experience by participating.

3.5. Target Population. Identify demographics of the targeted population and calculate the appropriate sample size from which to capture survey responses (i.e., military, civilian, skill sets, rank, grade, etc.)

3.5.1. Determine if survey-sampling techniques can be used to provide valid and reliable information at greatly reduced costs and time burdens on Air Force personnel. Surveys that include all members of a target population are discouraged.

3.5.1.1. Select an appropriate sample size to ensure survey results represent the attitudes and opinions of the target population.

3.5.1.2. Sample the minimum number of respondents necessary to reasonably achieve a satisfactory confidence interval.

3.5.2. Exclude participation of contract employees, which is not authorized for government-sponsored surveys.

3.5.3. Notify the Civilian Personnel Office at each participating Civilian Personnel Element, Manpower & Personnel Flight, for labor union notification prior to releasing an approved survey to civilian employees. For surveys of civilians at more than one base, HQ AFPC/DPIECC, Air Force Program Management and Evaluation, must be notified.

3.6. Survey Questions.

3.6.1. Should not be of a sensitive nature, objectionable, or in bad taste.

3.6.2. Should not require a lot of time and effort to respond.

3.6.3. Should be grammatically correct and easily understood by the respondents.

3.6.4. Do not include survey questions not intended for public release. Treat each survey question as though results will be released to the public. Consider the potential impact of public release on the following groups: Active duty personnel and their families; Air National Guard and Air Force Reserve members; Civilian employees; Service academy members; Reserve Officer Training Corps (ROTC) cadets and auxiliary; Retired military personnel and their families; Community organizations (including civic, trade, industrial, veterans, youth, ethnic, women, religious, environmental, and educational groups); The Congress; Local, state, and Federal Government officials; Professional organizations (e.g., partnerships, associations, corporations, business trusts, legal representatives, organized groups of individuals); and Civic leaders.

3.7. Questionnaire Package, Format, and Structure.

3.7.1. Cover letter or instructions should contain a statement that the survey is anonymous and that individual responses will be kept confidential, but summarized responses may be released to the public.

3.7.2. If copyrighted scales, subscales, or questions are used, the requester must have permission from the author(s) (if required) and cite the author(s) in any subsequent report or summary. Questions concerning copyright issues can be directed to AFLOA/JACQ, Rosslyn, Virginia.

3.7.3. Each topic area should be covered adequately.

3.7.4. Questions should be in a logical sequence.

3.7.5. Questionnaire should present a neat, professional appearance.

3.7.6. Obtain approval and endorsement on all survey requests from HQ USAF functional authority (minimum three-letter office). This ensures effective research is conducted across the Air Force while reducing duplication of similar efforts. Survey requests will not be approved without this endorsement.

3.7.7. **(Added-AU)** To request research approval, provide the information outlined in AFI 38-501 paragraphs 4.2.1.2 through 4.2.1.10. Exclude paragraph 4.2.1.4 and refer instead to paratraph 3.2.2.1 of this supplement for the use of survey software. Send the request to HQ/AU CFAE.

3.8. Response Scales

3.8.1. When using response scales, they must be balanced (e.g., when positive and negative responses are called for, there should be equal numbers of responses on both sides of the neutral point, whether the neutral point is explicit or implied).

3.8.2. Response scales should be complete, covering the full range of possible answers. An "I don't know," "None of the above," "N/A," or "Neither/Nor" response may be necessary.

3.8.3. Responses should be mutually exclusive and when covering a continuous variable such as time, weight, etc., they should be all-inclusive as well.

3.9. Prohibited Survey Topics. Surveys that might prove harmful to mission accomplishment if the results are disclosed to the public, or surveys covering areas of possible intelligence value are prohibited.

3.10. Inappropriate Survey Topics. Surveys on the following topics are normally prohibited and will only be approved on a case-by-case basis.

3.10.1. Political views.

3.10.2. Knowledge or skill assessments.

3.10.3. Opinions about specific individuals or their job performance.

3.11. Survey Projects Exempt or Not Supported.

3.11.1. Occupational surveys which are assigned an Air Force Personnel Test number and controlled according to AFI 36-2623, *Occupational Analysis*.

3.11.2. Internal reporting requirements, including statistical, summary, or status information which must be licensed and approved with a Reports Control Symbol (RCS) number in accordance with AFI 33-324, *Management and Control of Information Reports Requirements*.

3.11.3. Surveys of course graduates, administered on-site, if the sole purpose is to ask about the course. Surveys administered after completion of course, and mailed to graduates or their supervisors, are subject to requirements outlined in Chapter 4.

3.11.4. Post-audit surveys conducted by the Air Force Audit Agency, when the purpose is to obtain feedback on the official audit.

3.11.5. Surveys requiring Office of Management and Budget (OMB) approval. Surveys directed to the general public (non-Federal Government employees) require OMB approval. OMB guidance is located at http://www.whitehouse.gov/omb/assets/omb/inforeg/statpolicy/standards_stat_surveys.pdf and http://www.whitehouse.gov/omb/inforeg/pmc_survey_guidance_2006.pdf.

3.11.6. Inspector General organizations completing surveys under the purview of United States Code Title 10, Sec 8020, *Office of the Secretary of the Air Force, Inspector General* and its implementing AF instructions are exempt from the control measures of this AFI but may utilize the AF Survey Program when appropriate.

3.11.7. Single-base surveys initiated by the installation or unit commander only on issues under his or her control (see paragraph 2.5.).

3.11.8. All surveys submitted by non-Federal employees and that have no Federal funding or other support will be returned without action.

3.11.9. Surveys administered on non-dot mil web sites without SAF/XC approval in accordance with AFI 33-129, Section 3.7.4.1 will not be supported.

3.12. (Added-AU) Disposition of data. After administering the survey/instruments, a copy of the raw data set should be provided to HQ AU/CFAE (electronic version preferred). A summarized research report or analysis based on data collected from any survey conducted or instrument administered at Air University should be sent to HQ AU/CFAE upon completion of the research effort. This information becomes part of the Air University domain and should be maintained in the HQ AU/CFAE office and/or data repository.

3.12.1. **(Added-AU) Data Archive.** Filed data sets should be maintained and made available for future research efforts. A written request to HQ AU/CFAE using guidelines in paragraph 2.8 of this supplement should be submitted and reviewed by HQ AU/CFA before data will be released to a researcher.

Chapter 4

SURVEY REQUESTS

4.1. Survey Request Categories. Survey projects may be submitted in two categories.

4.1.1. Survey fully developed in all phases and requires an SCN.

4.1.2. Survey not developed requiring partial or full-phased survey support.

4.1.2.1. AF Survey Office will periodically announce a data call for survey projects requiring full-phased support. This ensures AF survey project efforts are not duplicated and minimizes survey overload on AF members.

4.2. Procedures.

4.2.1. Submissions must follow the Survey Development Guidelines in Chapter 3 of this AFI and include the following:

4.2.1.1. Written endorsement must be submitted from HQ USAF functional authority (three-letter office). For surveys that cross functional areas, endorsement must be obtained from each three-letter functional authority.

4.2.1.2. Formal request for approval must:

4.2.1.2.1. State the purpose, justification, and benefits of conducting the proposed research.

4.2.1.2.2. Indicate how the results will be used (e.g., develop training, publication of results, policy implementation, or program evaluation).

4.2.1.2.3. Specify a point-of-contact, e-mail address, and telephone number.

4.2.1.3. Provide a copy of the proposed survey instrument, interview protocol, questionnaire, or other format, which contains at least one attitude/opinion question.

4.2.1.4. Provide written coordination from SAF/XC regarding survey collection tool on non-dot mil website in accordance with AFI 33-129, Section 3.7.4.1

4.2.1.5. Provide an analysis plan to identify population of survey participants (pilots, engineers, etc.), size of the proposed sample, and sampling strategy.

4.2.1.6. Provide target confidence level and error rate.

4.2.1.7. Indicate mode of data collection (e.g., computer administered, telephone interview, or face-to-face interview).

4.2.1.8. Indicate statistical procedures employed in the analysis of results.

4.2.1.9. Provide a reporting format (e.g., briefing, publication, slide presentation), and a plan for release of survey results.

4.2.1.10. Provide project timeline containing milestones for significant research events (e.g., data collection start and end dates, release of findings).

4.2.1.11. Send the completed submission to the AF Survey Office, af.surveys@randolph.af.mil.

4.3. Processing Time. Sufficient time should be allowed for the survey review process.

4.3.1. Attitude and opinion survey requests must first be submitted to the AF Survey Office. Certified research reviewers will make a determination if the submission meets the criteria for human subject research and requires additional review by an Institutional Review Board (IRB). Criteria for IRB approval is established by 32 CFR 219, directed by DoDD 3216.02, *Protection of Human Subjects and Adherence to Ethical Standards in DoD-Supported Research*, and implemented IAW AFI 40-402, *Protection of Human Subjects in Research*. Forward the submission to an IRB if approval is necessary.

4.3.2. AFMA approval is required prior to assignment of a SCN.

4.3.3. AF Survey Office will process all requests promptly, depending on previous requirements and workload. Incomplete packages may result in additional processing time.

Chapter 5

RELEASING SURVEY FINDINGS

5.1. Survey Results. All requests for survey results will be submitted IAW DoD 5400.7-R, *DoD Freedom of Information Act Program*, and released if request meets all requirements.

5.1.1. AFMA does not release record-level data.

5.1.2. Requested survey results are released as aggregate data only.

5.2. Survey Results Not Released.

5.2.1. Identifies individuals based on their response(s).

5.2.2. Survey results may be released IAW DoD 5400.7-R, *DoD Freedom of Information Act Program*, AFI 33-332, *Privacy Act Program*, and AFI 10-701, *Operations Security (OPSEC)*.

5.3. Commander Surveys. Commanders who conduct a survey may release the survey instrument or results to the public or media by forwarding them through the unit Public Affairs office. Unless requested and approved under the criteria of DoD 5400.7-R, *DoD Freedom of Information Act Program*, commanders are not required to release surveys or survey results.

5.4. OPSEC Information. Any critical information or classified information as defined by AFI 10-701, *Operations Security (OPSEC)*, will not be released.

Chapter 6

UNAUTHORIZED SURVEYS

6.1. Unauthorized Surveys. An unauthorized survey is a non-local survey (e.g., non-government organization or individual) that has been sent to an official Air Force address/email, or through other forms of communication, and does not have a current AF Survey Control Number, a RCS, or an OMB number. Personnel receiving an unauthorized survey should notify the AF Survey Office to request further instructions.

Chapter 7

PRESCRIBED AND ADOPTED FORMS

7.1. Prescribed Forms. None.

7.2. Adopted Forms.

AF IMT 847, *Recommendation for Change of Publication.*

RICHARD Y. NEWTON III, Lt General, USAF
DCS, Manpower and Personnel

(AU)

DAVID S. FADOK, Lt Gen, USAF
Commander and President, Air University

Attachment 1

GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION

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Abbreviations and Acronyms

AFI— Air Force Instruction

AFMA—Air Force Manpower Agency

AFPD—Air Force Policy Directive

AFRIMS—Air Force Records Information Management System

DoD—Department of Defense

DoDD—Department of Defense Directive

DoDI—Department of Defense Instruction

FOIA—Freedom of Information Act

IG—Inspector General

IMT—Information Management Tool

IRB—Institutional Review Board

OMB—Office of Management and Budget

OPSEC—Operational Security

PCIE—President’s Council on Integrity and Efficiency

RDS—Records Disposition Schedule

ROTC—Reserve Officer Training Corps

RCS—Reports Control Symbol

SCN—Survey Control Number

Attachment 1 (AU)**GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION*****References***

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Adopted Forms

AF Form 847, *Recommendation for Change of Publication*

Abbreviations and Acronyms

AFIT—Air Force Institute of Technology

AU—Air University

CPF—Civilian Personnel Flight

POC—Point of Contact

SCO—Survey Control Officer