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SUPERINTENDENT**



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INSTITUTIONAL EFFECTIVENESS

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This instruction implements Air Force Policy Directive (AFPD) 36-35, *United States Air Force Academy* and references AFI 36-3502, *Performance Measurement Program for United States Air Force Academy*. It provides the Superintendent the means to comprehensively assess United States Air Force Academy (USAFA) mission accomplishment via an Institutional Effectiveness Program (IEP). This instruction applies to all USAFA personnel, codifies the responsibilities of the Superintendent, subordinate commanders, functional directors, the USAFA Monitoring and Implementation Team (MIT), the USAFA Outcomes Strategy Teams (OST) and the USAFA Institutional Effectiveness Board (IEB). It provides guidance on the authorization and conduct of IEP assessment efforts involving USAFA personnel, and outlines Office of Primary Responsibility (OPR) responsibilities. This publication does not apply to Air Force Reserve Command (AFRC) units and the Air National Guard (ANG). The OPR for this program is the USAFA Directorate for Strategic Plans and Programs, Requirements, Assessments, and Analyses (USAFA/A5/8/9). The Paperwork Reduction Act of 1974, as amended in 1996, affects this publication. Refer recommended changes and questions about this publication to the OPR using Air Force (AF) Form 847, *Recommendation for Change of Publication*. Ensure 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 the AF Records Disposition Schedule (RDS) located at <https://www.my.af.mil/afrims/afrims/afrims/rims.cfm>. See Attachment 1 for a glossary of references and supporting information.

SUMMARY OF CHANGES

This interim change updates administrative information including office symbols and office titles. The opening paragraph and Attachment 1 have been updated with correct references and mandatory statements as required by AFI 33-360, *Publications and Forms Management*. A margin bar (|) indicates revisions from the previous edition.

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Chapter 1

INSTITUTIONAL EFFECTIVENESS PROGRAM (IEP)

1.1. Institutional Effectiveness (IE) Definition. IE is ~~the~~ process of articulating the mission, setting goals, and using data to form assessments in an ongoing cycle of goal setting and planning” (Grossman & Duncan, 1989).

1.2. USAFA IEP.

1.2.1. Purpose. USAFA’s IEP:

1.2.1.1. Facilitates a culture of continuous improvement.

1.2.1.2. Establishes USAFA’s Strategic Goals, USAFA’s Outcomes, and the USAF Institutional Competencies (GOCs) as the institutional standards by which USAFA’s effectiveness will be measured.

1.2.1.3. Establishes Institutional Effectiveness Indicators (IEIs) as the high level, measurable indicators of success directly linked to USAFA GOCs.

1.2.1.4. Institutional Assessment (IA), Program Evaluation (PE) and Institutional Research (IR) are the set of complementary and occasionally overlapping assessment activities (hereafter called IEP Efforts) which are used to assess the quality and effectiveness of plans, programs, activities, and/or other initiatives. The collective results obtained from IEP Efforts will provide information regarding the accomplishment of the GOCs.

1.2.1.5. Delineates the reporting requirements necessary to document USAFA’s progress in meeting its GOCs.

1.2.1.6. Supports funding and resource requirements.

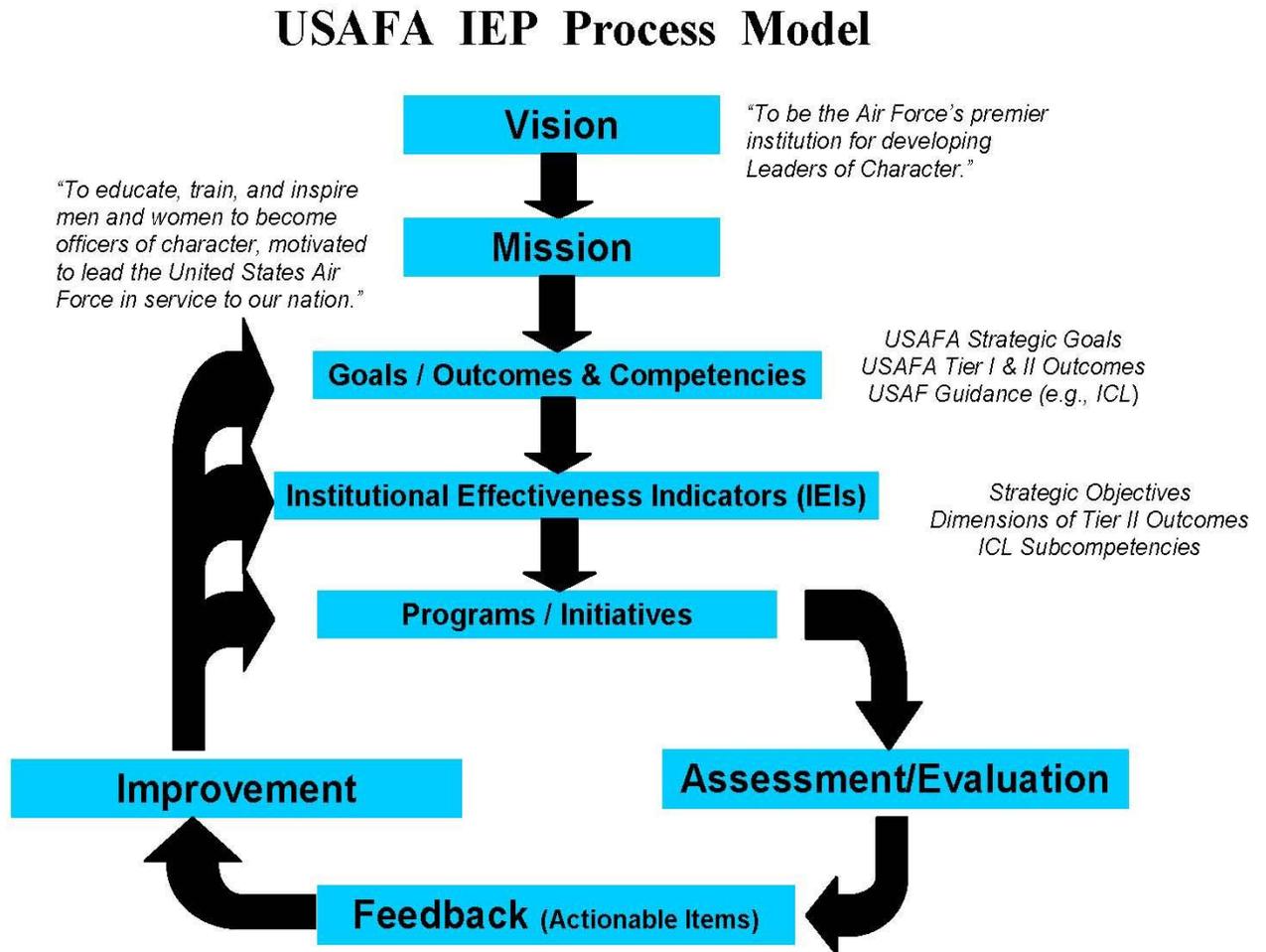
1.2.1.7. Increases efficiency through sharing of information.

1.2.1.8. Drives accountability to the program level.

1.2.1.9. Systematically measures the quality and effectiveness of education, training, developmental, and support programs.

1.2.1.10. Provides information to program managers and the Institution for planning improvement.

Figure 1.1. USAFA's IEP Process Model.



Chapter 2

VISION, MISSION, PHILOSOPHY, GOALS, OUTCOMES, AND COMPETENCIES (GOCS)

2.1. Vision. The Secretary of the Air Force (SECAF), Chief of Staff of the Air Force (CSAF), and Superintendent share one vision for the Academy: USAFA ... the Air Force's premier institution for developing leaders of character. AFPD 36-35, *United States Air Force Academy*, promulgates the following to support this vision: "The United States Air Force Academy (USAFA) will develop and commission officers of character, and serve as a proud symbol of the Air Force to the American people" (AFPD 36-35, 1).

2.2. Mission. While aspiring to become the Air Force's renowned character and leadership development institution, the Academy must perform its mission effectively to fulfill policy directives. The USAFA mission is: "To educate, train, and inspire men and women to become officers of character, motivated to lead the United States Air Force in service to our nation" (AFMD 12, *United States Air Force Academy*, 1).

2.3. Philosophy. The USAFA Officer Development System (ODS) (USAFA Pamphlet 36-3527) is "the overarching doctrinal framework for systematic development of USAFA cadets toward achievement of the USAFA outcomes." The ODS Guiding Principles are set forth in **Table 2.1** below.

Table 2.1. ODS Guiding Principles.

- | |
|--|
| <ol style="list-style-type: none"> 1) Align the USAFA experience with accepted USAF practices. 2) Emphasize cadet ownership and accountability for his/her development. 3) Ensure all leaders and followers gain from each developmental experience, including both successes and failures. 4) Establish a common core of experiences and multiple paths to similar outcomes. 5) Strike an appropriate balance between quality and quantity of development experiences. 6) Create depth of expertise sequentially and progressively based on a cadet's developmental level using the Personal, Interpersonal, Team and Organizational (PITO) model. 7) Couple adequate support with every challenge; tailor every challenge with an appreciation that cadets develop differently and will move through the process at different speeds. 8) Use goal-oriented and standards-based approaches to build skill-set expertise. 9) Assess the effectiveness of education, training and experiential processes in accordance with the USAFA IEP, USAFAI 36-3502. |
|--|

2.4. GOCs. IE will be measured by evaluating success relative to three primary nodes: the USAFA Strategic Goals, USAFA's Outcomes and the USAF Institutional Competencies.

2.4.1. USAFA Strategic Goals. An extension of the Air Force Strategic Plan, USAFA's Strategic Plan identifies strategic goals, objectives, and measures (ref. *United States Air Force Academy Strategic Plan 2008-2013, Volumes I & II*). The Academy's seven strategic goals (**Table 2.2**) are broad focus areas that, when achieved, will better enable USAFA to achieve its mission essential tasks.

Table 2.2. USAFA Strategic Goals.

- 1. Focus on character and leadership development.** All cadet activities and institutional assessments will elevate and integrate character and leadership development. Our Air Force core values, *“Integrity First, Service Before Self, and Excellence in All We Do,”* are the foundation of character. We will redouble our efforts to blend character and leadership development into all aspects of the cadet experience and implement a cohesive program to assess cadet character transformation.
- 2. Strengthen our communication and reputation.** Strengthen the Academy’s strategic communications and enhance our reputation. Communicate USAFA’s reputation as a proud symbol of the Air Force to the American people. Maintaining and improving our communications processes will support our integration efforts.
- 3. Produce highly educated and trained officers.** In an institutionally-integrated manner, develop officers of character with in-depth academic, technical and military skills and competencies for leadership in air, space and cyberspace in Air Force and Joint operations. We will expand our unique opportunities to prepare our graduates to excel in support and operational roles across the spectrum of conflict.
- 4. Enhance faculty, staff and cadet diversity.** Ensure we have the faculty, staff, and cadet diversity to broaden the cadet-learning environment and prepare USAFA graduates to lead in a global expeditionary Air Force. We will use our total force expertise to expose our cadets to new ideas, beliefs, and experiences while emphasizing language and culture to enhance their worldview.
- 5. Integrate institutional processes.** Integrate the Academy’s strategic planning, business and program development processes and ensure our programs have defined outcomes and measures. We will make processes transparent and share information to make timely and accurate decisions. We will implement AF Smart Operations to better use resources and create flexibility to increase capability to execute our mission.
- 6. Prepare and motivate the workforce.** Provide a well-prepared and motivated workforce focused on the mission. We will develop and implement a force development program to attract, develop, retain and support our people and focus on their professional contributions so they can better use their talents in new and innovative ways.
- 7. Secure and manage resources.** Obtain and manage resources for our mission activities by maintaining effective institutional investment strategies and management processes. We will work to successfully define and present program proposals that garner corporate and sponsor support for our new and ongoing initiatives to better achieve our mission.

2.4.2. USAFA Outcomes. Focus development throughout each cadet’s USAFA experience, and well into his/her Air Force career or other service to the Nation. Graduates must demonstrate the responsibilities, skills, and knowledge expected of professional commissioned officers. The Academy develops cadets to achieve institutional outcomes;

consequently, every graduate is expected to achieve appropriate levels of these outcomes, regardless of different programmatic experiences. See [Table 2.3](#).

Table 2.3. USAFA Outcomes.

Cadets who are committed to societal, professional, and individual responsibilities	1. Ethical Reasoning and Action
	2. Respect for Human Dignity
	3. Service to the Nation
	4. Lifelong Development and Contributions
	5. Intercultural Competence and Involvement
Cadets who are empowered by integrated intellectual and warrior skills	6. Quantitative and Information Literacy
	7. Oral and Written Communication
	8. Critical Thinking
	9. Decision Making
	10. Stamina
	11. Courage
	12. Discipline
	13. Teamwork
Cadets who are grounded in essential knowledge of the profession of arms and the human & physical worlds	14. Heritage and Application of Air, Space, and Cyberspace Power
	15. National Security and Full Spectrum of Joint and Coalition Warfare
	16. Civic, Cultural, and International Environments
	17. Ethics and the Foundations of Character
	18. Principles of Science and the Scientific Method
	19. Principles of Engineering and the Application of Technology

2.4.3. USAF Institutional Competencies. IAW the USAF Institutional Competencies List (ICL) (AFI36-2014, [Attachment 5](#)) requirements, USAFA will report ICL performance measures to external agencies as directed.

2.5. USAFA IEIs. A series of high-level indicators of success directly linked to the GOCs. These indicators are designed to capture USAFA’s overall mission-effectiveness and institutional health.

2.5.1. Examples of IEI focus areas that are directly linked to the GOCs include, but are not limited to:

- 2.5.1.1. Character and Leadership.
- 2.5.1.2. Diversity/Climate.
- 2.5.1.3. Graduate Success/Retention.
- 2.5.1.4. Employee Satisfaction.

2.5.2. The USAFA MIT, in consultation with the IEB, will be responsible for establishing and monitoring USAFA’s IEIs and determining whether or not each is achieved (see [Section 3.7](#)).

2.5.2.1. All IEIs will be established utilizing baseline rates and historical data and will document USAFA's progress in achieving our GOCs.

2.5.2.2. Measuring achievement of each IEI will involve systematically collecting information, analyzing the data with reference to past findings, and identifying what changes in operations or activities are required for improvement.

2.5.2.3. Data obtained on IEIs may identify opportunities for improvement that require further examination of contributing factors.

Chapter 3

PROCESSES AND ACCOUNTABILITY

3.1. Assessing IE. IEP Efforts will measure the quality and effectiveness of plans, programs, activities and/or other initiatives. The collective results obtained from IEP Efforts will provide information regarding the accomplishment of the GOCs. In order to facilitate decision-making, IEP Efforts should seek to synthesize information/data across disparate activities. Resources available to assist with IEP Efforts include the Office of Institutional Assessment (A9A), the Office of Institutional Research (A9N), and Assessment Professionals within the Mission Elements (MEs).

3.2. Linkage. Each plan, program, activity, and/or other initiative, etc. conducted at USAFA will be linked to one or more of the GOCs and/or ODS Principles. If an IEP Effort does not sustain at least one GOC, it should be reviewed to determine its contribution to USAFA's IEP and whether resources should be dedicated to its accomplishment.

3.3. Unit of Analysis. To improve performance and management decisions, IEP Efforts should examine the appropriate units of analysis. This is often the level where resource allocation, management and/or command decisions are made.

3.4. Accountability. Normally, functional responsibility for GOC assessment is delegated as follows unless otherwise directed by the USAFA MIT: PE to the ME commanders and HQ USAFA Functional Directors (FD); USAFA Outcomes Assessment (OA) to the OST; and, IA, IR, and IEP implementation to the Director for Plans and Programs (USAFA/A5/8/9).

3.5. Efficiency. Every attempt shall be made to consolidate data collection for IEP Efforts to minimize the impact on cadets and other personnel.

3.5.1. Any new IEP Effort identified out of cycle which would normally be included in the USAFA IEP Matrix (**Attachment 3**) (reference criteria set forth in **4.2.3**) shall be briefed to the MIT for approval and include project description and a detailed justification regarding the nature of the effort. Once approval has been given by the MIT, the IEP Effort now qualifies as a planned assessment and requires an IEPR (reference **4.2**) If a short notice IEP Effort (meeting the criteria set forth in **4.2.3**) occurs out of cycle and cannot be included for approval at the next MIT meeting, then an IEPR part 1 and outbrief to the MIT will occur at the next MIT meeting following execution.

3.5.2. All IEP Efforts utilizing surveys must comply with AFI 36-2601 and USAFA Supplement 1, *Air Force Personnel Survey Program*.

3.6. Strategic Steering Group (SSG). The SSG, as defined in USAFAI 16-501, *Strategic Planning and Programming*, is the senior forum for cross-functional consideration of the most critical Academy strategic planning, institutional effectiveness and programmatic issues.

3.7. USAFA MIT.

3.7.1. MIT Purpose. Reporting to the SSG, the MIT strategically aligns IEP Efforts to sustain an institutionally effective, operationally relevant, and mission-focused environment. The MIT achieves economies of scale by integrating data collection efforts in support of GOCs.

3.7.2. MIT Administration. At a minimum, the MIT will meet monthly, or as called into session by the Chair.

3.7.2.1. Meeting Minutes. USAFA/A5/8/9 will record and publish meeting minutes.

3.7.2.2. Minutes Distribution. At a minimum, USAFA/A5/8/9 will distribute MIT minutes to MIT members and to ME Commanders and Directors. Additional distribution will occur on an "as requested" basis.

3.7.3. MIT Specified Tasks. As USAFA's IEP decision-making agent, the MIT will:

3.7.3.1. Serve as the USAFA executive agent for IEP policy, strategy, and reporting.

3.7.3.2. Annually review and approve the USAFA IEP Matrix (reference [Chapter 4](#)).

3.7.3.2.1. Add or delete items on the USAFA IEP Matrix based on institutional significance.

3.7.3.2.2. Review and approve/disapprove any IEP Effort not included in the USAFA IEP Matrix ([Attachment 3](#)).

3.7.3.3. Annually review and approve the USAFA IEP Summary (reference [Chapter 4](#)).

3.7.3.4. Assess GOC achievements.

3.7.3.5. Establish and monitor USAFA's IEs and determine whether or not each is achieved.

3.7.4. MIT Composition. Membership is defined in USAFAI 16-501, *Strategic Planning and Programming*.

3.7.5. MIT Chair Responsibilities. HQ USAFA/CV is designated as the MIT Chair and is responsible for all IEP activities. The MIT Chair will:

3.7.5.1. Provide strategic guidance, direction, and oversight to the MIT.

3.7.5.2. Oversee, monitor, and maintain the IEP.

3.7.5.3. Arbitrate recommendations and approve final courses of action (COAs).

3.7.5.4. Task MIT members to provide personnel to fulfill MIT responsibilities.

3.7.6. MIT Member Responsibilities. Each MIT member will:

3.7.6.1. Review issues and concerns with their respective subject matter experts, in advance of each meeting.

3.7.6.2. Advocate command/directorate requirements, challenges, and issues.

3.7.6.3. Make binding decisions on behalf of their respective Commander/Director.

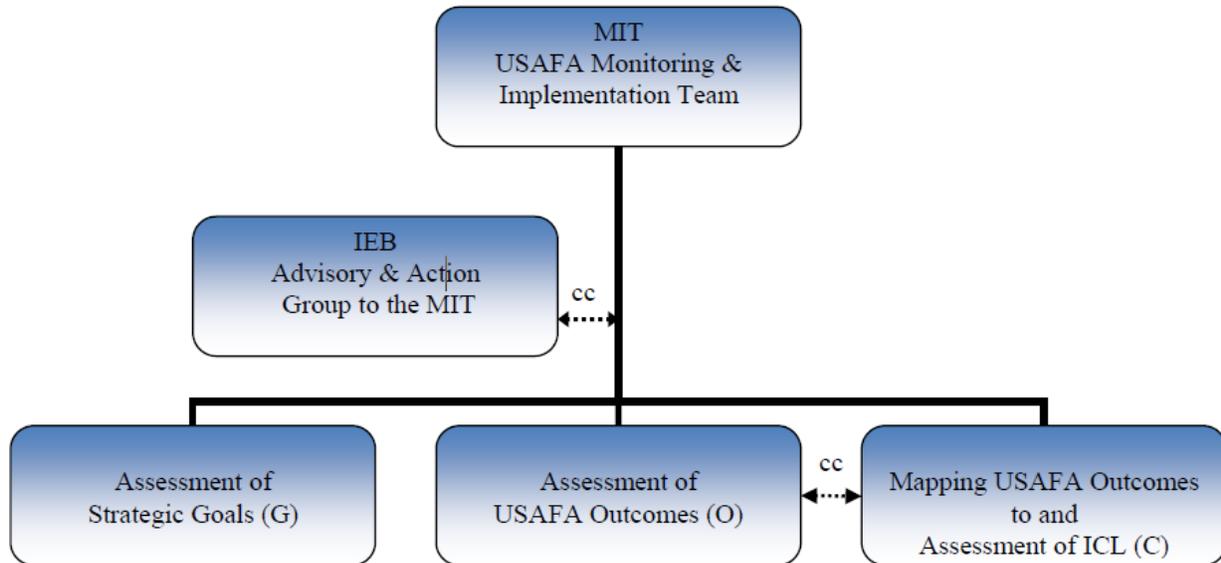
3.7.6.4. Task the USAFA IEB members (and/or other organizational personnel) to fulfill IEP requirements.

3.8. USAFA IEB.

3.8.1. IEB Purpose. Serves in an advisory and action capacity for the MIT concerning IEP Efforts (IA, PE, IR) across the installation.

3.8.2. IEB Relationship to Assessment Efforts. The IEB collaborates with others responsible for oversight and assessment plans, programs, activities, and/or other initiatives. See [Figure 3.1](#) below.

Figure 3.1. IEB Relationships.



3.8.3. IEB Specified Tasks. The IEB will:

3.8.3.1. Consider the overall institutional impact while representing positions on behalf of his/her respective commander/director.

3.8.3.2. Review the IEP Effort Plan and Results (IEPR) (Sections 1 and 2 from [4.2](#)) to:

3.8.3.2.1. Ensure IEP Efforts support the GOCs.

3.8.3.2.2. Ensure findings are communicated to the appropriate levels necessary to make sure appropriate changes are made.

3.8.3.2.3. Make recommendations regarding Institutional needs and/or opportunities for the next USAFA IEP Matrix.

3.8.3.2.4. Identify areas that require additional support and/or resources.

3.8.3.2.5. Recommend tools/techniques for assessing GOCs.

3.8.3.3. Review and make recommendations regarding the following IEP products prior to MIT approval.

3.8.3.3.1. USAFA IEP Matrix (reference [Chapter 4](#)) ensuring it achieves economy of efforts by integrating IEP Efforts and deconflicting schedules. Ensure any IEP Effort(s) not included in the USAFA IEP Matrix ([Attachment 3](#)) are reviewed and recommendations made.

3.8.3.3.2. IEP Summary Report (reference [Chapter 4](#)), identifying GOCs that require additional evaluative efforts.

3.8.3.4. Share IEP data from across the institution to the maximum extent possible.

3.8.3.5. Any other actions required or directed by the MIT.

3.8.4. IEB Membership. USAFA/A9A will chair the IEB. Standing membership consists of 8 ME/FD-appointed representatives with experience in assessment (see table 3.2.).

Table 3.2. IEB Membership.

USAFA/A9A - Chair	USAFA/DF
10 ABW/	USAFA/PL
306 FTG/	USAFA/A5/8/9 (1—recorder)
USAFA/PA	Note: The IEB Chair may request ME/FDs appoint additional members temporarily (as required) based upon the nature of a particular effort.
USAFA/A9A	
USAFA/AD	
USAFA/CW	

3.8.5. IEB Chair will be responsible for all IEB activities. The IEB Chair's responsibilities will include the following:

3.8.5.1. Provide strategic guidance, direction, and oversight to the IEB.

3.8.5.2. Arbitrate impasses when members cannot agree on a COA selection/recommendation.

3.8.5.3. Approve COAs for implementation and/or staffing.

3.8.5.4. Task IEB members to provide personnel to fulfill IEB responsibilities.

3.8.5.5. Inform the MIT, other senior staff, and the HQ USAFA/CC of any IEP Effort considered to be of "high institutional interest" (e.g., honor, sexual assault or harassment, climate and culture issues).

3.9. USAFA OST.

3.9.1. OST Purpose. A cross-functional team that oversees instructional design for, and assessment of, cadet development relative to USAFA Outcomes. The OST provides regular reports to the MIT concerning the effectiveness of the overall Course of Instruction (COI).

3.9.2. OST Administration. The OST will meet quarterly at a minimum, although the Chair may call it into session as required.

3.9.3. OST Specified Tasks. With regard to USAFA Outcomes, the OST will:

3.9.3.1. Integrate all relevant OA data into a regular, semi-annual report on the "State of Outcome Achievement" including appropriate prioritized recommendations for enhancing both Outcome Achievement and OA.

3.9.3.2. In addition to required regular reports to the MIT, foster cross-ME institutional communication regarding best practices for assessment-based improvement in the COI. Provide key USAFA stakeholders timely feedback on assessment findings and recommendations.

3.9.3.3. Oversee the work of the Outcome Team Leads (OTL) and Outcome Teams (OTs) in support of the Curriculum, COI, and Curriculum and Outcomes Alignment Plan (COAP).

3.9.3.4. OTL Specified Tasks. Working via an inter-ME team (composed of representatives from each course/program identified via the COAP), OTL’s will:

3.9.3.4.1. Clarify integrated desired learning outcomes for assigned Outcome(s). Within the scope of the courses/programs assigned to each OT in the COAP, seek and develop connections and synergies across them to strengthen Outcome Achievement.

3.9.3.4.2. Specify indicators for successful achievement of assigned Outcome(s).

3.9.3.4.3. Assess and report cadet achievement of the Team’s designated USAFA Outcomes (and, by extrapolation, the USAF ICL) by designing and administering data collection tools, analyzing data, and producing reports. Where appropriate, assess contributions to Outcome Achievements over the cumulative USAFA COI.

3.9.3.4.4. As appropriate, identify opportunities for enhancing integrated development of the OT’s designated Outcome beyond the scope of responsibility of the particular OT courses/programs.

3.9.4. Serves as the USAFA liaison with outside agencies regarding OA.

3.9.5. OST Composition. Commanders/Directors will appoint experienced senior officers or civilians as command/directorate representatives. OST composition is detailed in [Table 3.3](#). Sitting members of the OST may vote to change composition of the team.

Table 3.3. OST Composition.

USAFA Transformation Chair - Chair	USAFA/ADP
USAFA/CWV	USAFA/DFEX
USAFA/EC	USAFA/CWVC
USAFA/DFA	USAFA/PLD
USAFA/A5/98/9	USAFA/CWPX
Designated Knowledge Outcome Team Leader	306 FTG/CD
Designated Responsibilities Outcome Team Leader	USAFA Accreditation Chair
Designated Skills Outcome Team Leader	USAFA/CIO

Chapter 4

INSTITUTIONAL EFFECTIVENESS PROGRAM (IEP) REPORTING

4.1. Purpose. To complete the continuous improvement loop of the USAFA IEP Model (**Figure 1.1**) by documenting planned IEP Efforts, their corresponding assessment activities, and use of results. This process will also document USAFA's progress in meeting its GOCs. Each IEP reporting year begins 1 Oct and ends 30 Sep annually.

4.2. USAFA IE Plan and Results (IEPR).

4.2.1. Purpose. The IEPR (**Attachment 2**) documents the planned IEP Efforts corresponding assessment activities, results, and use of results.

4.2.2. At a minimum, each ME/FD will submit individual IEPRs for the five planned IEP Efforts they deem as having the most institutional significance.

4.2.3. In addition to **4.2.2**, planned IEP Efforts meeting any of the following criteria require submission of an IEPR, Section 1. Any exceptions require prior approval from USAFA/CC.

4.2.3.1. Involve more than 750 personnel.

4.2.3.2. IEP Efforts that target any single demographic group (cadet class, gender, race, religion, intercollegiate status).

4.2.3.3. Involve topics which, as determined by the MIT or Commander, may be sensitive in nature.

4.2.3.4. Has the capacity to produce results which would generate high levels of interest/visibility, and/or produce harm to USAFA.

4.2.3.5. Involve agencies external to USAFA.

4.2.3.6. As directed by the MIT.

4.2.3.7. The IEPR, Section 2, is not required unless directed by the MIT.

4.2.4. In the case of multiple levels of evaluation and/or assessment within one plan, program, activity or other initiative, those lower tiered IEP Efforts that meet the criteria in **4.2.3** must be included and separately addressed in Section 1 of the IEPR for that plan, program, activity or other initiative.

4.2.5. ME/FD Commanders may at their discretion submit additional IEPRs regarding any plan, program, activity or other initiative not addressed in **4.2.3**.

4.2.6. IEPR Section 1. Encompasses the planning process for each IEP Effort attached to a plan, program, activity or other initiative. Section 1 includes title/date, GOC(s) and ODS Principle(s) supported, resources, process/objective, assessment methods and indicators for success.

4.2.7. Those managing IEP Efforts will submit an IEPR Section 1 (Attachment 2) to USAFA/A5/8/9 IAW section 4.2.2., 4.2.4. and Table 4.1.

4.2.8. IEPR Section 2 encompasses the continuous feedback process for each IEP Effort. Section 2 includes assessment results, status of results, and feedback/use of results.

4.2.8.1. Once individual IEP Efforts have been accomplished, an IEPR Section 2 (Attachment 2) will be finalized within 30 days of the completion of the IEP effort. IEPR submitted to USAFA/A5/8/9, IAW Table 4.1.

4.2.8.2. Those managing IEP Efforts should utilize IEPR Section 2 results and apply them to the following year’s IEPR Section 1 plan to facilitate continuous improvement.

4.2.9. USAFA/A5/8/9 will compile/archive finalized IEPRs.

4.3. USAFA IEP Matrix.

4.3.1. Purpose. Serves as USAFA’s annual compilation of IEP Efforts.

4.3.2. The USAFA IEP Matrix (**Attachment 3**) will incorporate inputs from all IEPRs (**Attachment 2**) into a spreadsheet. The USAFA IEP Matrix serves as the consolidated picture of all IEP Efforts and corresponding assessment activities. The USAFA IEP Matrix is intended for use by the MIT, IEB, Commanders/Functional Directors and equivalents.

4.3.3. Approval and Publication. The USAFA IEP Matrix will be published annually, following MIT approval, and will be distributed for implementation.

4.4. USAFA IEP Summary.

4.4.1. Purpose. Serves as USAFA’s annual summary of IEP Efforts and assessment activity results. Highlights notable findings across all IEP Efforts, organized by the GOC supported.

4.4.2. Commanders/Functional Directors will generate an IEP Summary Input (Attachment 4) and submit to USAFA/A5/8/9 IAW Table 4.1. for inclusion in the USAFA IEP Summary.

4.4.3. Approval and Publication. The IEP Summary will be published annually following ME coordination and MIT review/approval.

4.4.4. USAFA/A5/8/9 will compile/archive finalized IEP Summaries.

Table 4.1. IEP Reporting Schedule.

Function	Suspense
IEPR (Section 1- Plan)	
Submit to A5/8/9 (addresses IEP Efforts)	1 Aug (covers FY 1Oct to 30 Sep)
USAFA IEP Matrix	
Draft to MIT (A/5/8/9)	1 Sep (covers FY 1Oct to 30 Sep)
MIT approval/distribution (MIT/A5/8/9)	1 Oct
IEPR (Sections 1 & 2 Results)	
Submit to A5/8/9	30 days after completion
IEP Summary Input	
Submit to A5/8/9 (All MEs/Directors)	1 Jan/1Jul
USAFA IEP Summary	
Draft coordination to ME’s & MIT (A5/8/9)	15 Jan/15 Jul
MIT approval/distribution (MIT/A5/8/9)	1 Feb/1Aug

Chapter 5

ROLES AND RESPONSIBILITIES

5.1. Purpose. To outline roles and responsibilities relative to the USAFA IEP.

5.2. The Superintendent (HQ USAFA/CC):

- 5.2.1. Is ultimately responsible for the USAFA IEP.
- 5.2.2. Has delegated responsibility for the USAFA IEP to the MIT.
- 5.2.3. Has delegated responsibility for USAFA OA to the OST.
- 5.2.4. Has delegated responsibility for IA, IR, USAFA IEP Matrix (Attachment 3), and IEP Summary to USAFA/A5/8/9.
- 5.2.5. Has delegated responsibility for PE to Commanders/Functional Directors.
- 5.2.6. Approves exceptions to requirements of Section 4.2.3.

5.3. MIT Responsibilities. Refer to [paragraph 3.7](#).

5.4. IEB Responsibilities. Refer to [paragraph 3.8](#).

5.5. OST Responsibilities. Refer to [paragraph 3.9](#).

5.6. OTL Specified Tasks. Refer to [paragraph 3.9.3.3.1](#).

5.7. USAFA/A5/8/9 will:

- 5.7.1. Serve as the lead agent for the USAFA IEP policy, execution, and reporting.
- 5.7.2. Serve as the lead agent for the IEB.
- 5.7.3. Produce the USAFA IEP Matrix ([Attachment 3](#)).
- 5.7.4. Produce the USAFA IEP Summary.
- 5.7.5. Serve as the lead agent for IA and IR.
- 5.7.6. Serve as the USAFA lead for all external institutional assessments.
- 5.7.7. Assist with PE and OA as requested.
- 5.7.8. Maintain the USAFA institutional repository and archive.
- 5.7.9. Perform administrative functions and serve as the recorder for the MIT and IEB.

5.8. Commanders/Functional Directors will:

- 5.8.1. Use their discretion and area expertise, in consultation with the IEB and approval from the MIT, to determine what level of activity or program will be required to complete the report portion (Section 2) of the IEPR.
- 5.8.2. Conduct scheduled evaluations of their respective programs.
- 5.8.3. Integrate IEP Efforts into planning, staffing, and budgeting.
- 5.8.4. Organize units, provide staffing, and dedicate funds to support the USAFA IEP.

5.8.5. Develop and submit IEPRs ([Attachment 2](#)) and IEP Summary Input ([Attachment 4](#)) IAW section [4.2.2](#) and [Table 4.1](#).

5.8.6. Utilize IEPR Section 2 results and apply to the following year's IEPR Section 1 plan to facilitate continuous improvement.

Chapter 6

CONCLUSION

6.1. DELETED.

6.2. DELETED.

MICHAEL L. THERIANOS, JR. Colonel, USAF
Director, Strategic Plans & Programs,
Requirements, Assessments, & Analyses

Attachment 1**GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION*****References***

AFH 36-2235V1, *Information for Designers of Instructional Systems*, Volumes 1-13
AFI 33-332, *Air Force Privacy Act Program*
AFI 36-2014, *Commissioning Education Program*
AFI 36-2601_USAFASUP1_I, *Air Force Personnel Survey Program*
AFI 36-3502, *Performance Measurement Program for United States Air Force Academy*
AFMAN 33-363, *Management of Records*
AFMD 12, *United States Air Force Academy*
AFPD 36-35, *United States Air Force Academy*
USAF Institutional Competency List
USAF Strategic Plan
USAFAPAM 36-3527, *The Officer Development System: Developing Leaders of Character*

Prescribed Forms

No forms are prescribed.

Adopted Forms

AF Form 847, Recommendation for Change of Publication.

Abbreviations and Acronyms

10 ABW—10th Air Base Wing
306 FTG—306th Flying Training Group
AF—Air Force (synonymous with USAF)
AFH—Air Force Handbook
AFI—Air Force Instruction
AFMAN—Air Force Manual
AFMD—Air Force Mission Directive
AFPD—Air Force Policy Directive
CIO—Chief Information Officer
COA—Course of Action
COAP—Curriculum and Outcomes Alignment Plan
COI—Course of Instruction
CSAF—Chief of Staff of the Air Force

DRU—Direct Reporting Unit
FD—Functional Director
GOCs—USAF Strategic Goals, USAFA Outcomes, USAF Institutional Competencies
HQ—Headquarters
IA—Institutional Assessment
IAW—In Accordance With
ICL—United States Air Force Institutional Competency List
IE—Institutional Effectiveness
IEI—Institutional Effectiveness Indicators
IEP—Institutional Effectiveness Program
IEP Efforts—Institutional Assessment, Institutional Research and Program Evaluation
IEB—USAFA Institutional Effectiveness Board
IEP Matrix—Institutional Effectiveness Program Matrix
IEP Summary—Institutional Effectiveness Program Summary
IEPR—USAFA IE Plan and Results
IR—Institutional Research
ISD—Instructional System Design
ME—Mission Element
MIT—USAFA Monitoring and Implementation Team
OA—Outcomes Assessment
ODS—Officer Development System
OPR—Office of Primary Responsibility
OST—USAFA Outcomes Strategy Team
OT—Outcome Team
OTL—Outcomes Team Lead
PE—Program Evaluation
PITO—Personal, Interpersonal, Team and Organizational model
PM—Performance Measure
RDS—Records Disposition Schedule
SECAF—Secretary of the Air Force
SSG—Strategic Steering Group
USAF—United States Air Force (synonymous with AF)

USAFA—United States Air Force Academy

USAFA/AD—Department of Athletics

USAFA/CV—Vice Superintendent

USAFA/CW—Commandant of Cadets

USAFA/DF—Dean of Faculty

USAFA/EC—Endowed Chair for Character

USAFA/PA—Public Affairs

USAFA/PL—Preparatory School

USAFA/A5/8/9—Plans and Programs

USAFA/A9A—Institutional Assessment Division

USAFA/A9N—Institutional Research Division

USAFAMAN—United States Air Force Academy Manual

Terms

Assessment— The systematic collection, review, and use of information for continuous improvement. Assessment methods include but are not limited to: (1) Surveys – information obtained through the use of a survey, questionnaire, etc. Data collected may be Institutional Research (IR) data – factual information obtained from/for USAFA’s “institutional database” or data collected may be Institutional Assessment (IA) data – information subject to interpretation that contributes insights to USAFA; (2) Focus Groups – information obtained through group interviews; (3) Individual Interviews – information obtained through individual interviews; (4) Observations – information obtained through naturalistic or controlled observation; (5) Research – information obtained through experimental research; (6) Cadet Work – information obtained by analyzing cadet performance on assignments, tests, etc.

Directorate/Functional Director— HQ USAFA DRU element which performs staff functions for the Superintendent.

GOCs— The USAFA Strategic Goals, USAFA Outcomes, and the USAF Institutional Competencies.

Institutional Assessment (IA)— The systematic collection, analysis, and reporting of high level, institutional information reflecting USAFA’s GOC achievement.

Institutional Effectiveness (IE)— The process of articulating the mission, setting goals, and using data to form assessments in an ongoing cycle of goal setting and planning” (Grossman & Duncan, 1989).

Institutional Effectiveness Plan and Results (IEPR)— Document detailing the plan, process, results, and use of results for all individual IEP Efforts.

Institutional Effectiveness Program (IEP) Efforts— Encompasses the three methods of assessment(s): Institutional Assessment (IA), Institutional Research (IR) and Program Evaluation (PE) and the functional tasks (plan, process, results, and use of results). These IEP Efforts specifically target GOC accomplishment within a plan, program, activity or other

initiative. Planned IEP Efforts encompass IEP Efforts which are identified for inclusion under the Table 4.1. timeline or as identified via paragraph 3.5.1.

Institutional Effectiveness Program (IEP) Matrix— Data collection list detailing requirements in support of the Superintendent and subordinate Commanders/Directors.

Institutional Effectiveness Program (IEP) Summary— Serves as USAFA's annual summary of significant IEP Effort results.

Institutional Research (IR)— The systematic collection, analysis, reporting, and warehousing of data that is of broad institutional interest.

Mission Element (ME)— At USAFA, a unit charged with fulfilling a mission: 10th Air Base Wing; Athletic Department; Commandant of Cadets; Dean of the Faculty; and USAFA Preparatory School.

Officer Development System (ODS)— Defines character-based officership and the desired outcomes toward which all developmental activities are focused. ODS is founded on the idea that professional commitments can be fostered through deliberate connections to the principles of professional military service.

Program— An activity or set of activities intended to achieve a specific goal or objective under the control of a single ME Commander or manager. A "program" may also be a collection of programs or activities that are managed as one entity.

Program Evaluation (PE)— The systematic collection, analysis, and reporting of information to determine whether a program's objectives are being effectively and efficiently met.

Performance Measure (PM)— Indicator of work performed and results achieved in an activity, process, or organizational unit; a category of quality measures that address how well a system functions.

USAF Institutional Competency List (ICL)— Competencies are a cluster of knowledge, skills, abilities (KSAs), and attributes an individual possesses to successfully perform a given task, condition, or standard consistently. Therefore, Institutional Competencies represent those human capabilities that support performance across the widest array of Air Force tasks and requirements.

USAFA Institutional Effectiveness Board (IEB)— Senior advisory council to the MIT comprised of members from all Mission Elements and select HQ directorates; coordinates all data collection in support of IEP Efforts to ensure an effective, relevant, and mission-focused IEP.

USAFA Monitoring and Implementation Team (MIT)— Senior advisory council to the Superintendent and subordinate Commanders/Directors comprised of members from all Mission Elements and select HQ directorates; strategically aligns IEP Efforts to sustain an institutionally effective, operationally relevant, mission-focused environment.

USAFA Objectives— A series of high level, measurable indicators of success directly linked to GOCs. These indicators are designed to capture USAFA's overall mission-effectiveness and institutional health.

USAFA Outcomes— Descriptions of the responsibilities, skills and knowledge required of a newly commissioned officer.

USAFA Outcomes Strategy Team (OST)— An inter-Mission Element team that oversees instructional design and assessment for cadet development relative to the Outcomes.

Attachment 2

**USAFA INSTITUTIONAL EFFECTIVENESS PLAN AND RESULTS (IEPR)
TEMPLATE**

SECTION 1: PLAN

IEP Effort Title:

Office symbol:	Dates:	Cycle:
-----------------------	---------------	---------------

ODS Principle(s) supported:

GOC(s) supported:

Resources required:

Process/objectives (describe the program/plans/activities/initiative):
--

Methods of assessment - (the procedures, strategies, or means by which you will collect information to assess each IEP Effort and ultimately the GOC(s) and/or ODS Principle(s) supported):
--

Indicators for success (the indicators or benchmark established and expected results):

SECTION 2: RESULTS

Result(s) completion date:

Assessment result(s):

Status of result(s) (were indicators for success met):

Feedback and use of result(s):

NOTE: If more than one IEP Effort requires reporting within one plan, program, activity or other initiative, Sections 1 and 2 will include the above information for each IEP Effort.

Attachment 3

USAF INSTITUTIONAL EFFECTIVENESS PROGRAM (IEP) MATRIX (EXAMPLE)

SECTION 1: PLAN								SECTION 2: RESULTS		
Org	IEP Effort Title	Dates	Cycle	GOC(s) supported	ODS Principle (s) supported	Method of Assessment	Sect 1 compl date	Status	Feedback completion date	Sect 2 compl date
XP	Cadet Climate Survey	9/20/0710/2/07	Bi-annual	1.4.2. Climate & Culture	GP #2	IA - Survey	11/10/07		12/15/07	1/10/08
DF	LEAD	AY 07	Annual	1.3.1.1. Strat Goal 1	LGM	PE -	4/25/07		7/1/08	7/15/08
CW	Comm's Challenge	10/1/0711/7/07	Annual	1.3.1.1. Strat Goal 1	PITO	PE -	2/15/07		1/10/08	1/30/08

Attachment 4

**USAFA INSTITUTIONAL EFFECTIVENESS PROGRAM (IEP) SUMMARY INPUT
(TEMPLATE)**

Highlights significant findings across all IEP Efforts, organized by GOC supported.

Example

GOC supported: Strategic Objective 3.1: Create integrated Learning Experiences across all USAFA Mission Elements to develop and assess the USAFA Outcomes in cadets.

Significant highlights: Seven programs were conducted and evaluated in support of this goal with results indicating overall indicators for success were met. Specifically, cadets exposed to six of these programs demonstrated a 15% increase in knowledge about airpower. One program, ~~XYZ~~ was eliminated due to lack of results. Findings were communicated back to course level instructors and the OST Chair to provide opportunities for continued improvement.

Several global changes to improve programs were discussed and implemented. These include:

- a.
- b.
- c.

ODS Principle(s) supported:

GOC supported:

Significant highlights:

ODS Principle(s) supported:

GOC supported:

Significant highlights:

Attachment 5

LISTINGS OF ODS PRINCIPLES, GOALS, OUTCOMES, AND COMPETENCIES

Officer Development System Principles = ODS	
ODS-1	Align the USAFA experience with accepted USAF practices.
ODS-2	Emphasize cadet ownership and accountability for his/her development.
ODS-3	Ensure all leaders and followers gain from each developmental experience, including both successes and failures.
ODS-4	Establish a common core of experiences and multiple paths to similar outcomes.
ODS-5	Strike an appropriate balance between quality and quantity of development experiences.
ODS-6	Create depth of expertise sequentially and progressively based on a cadet's developmental level using the Personal, Interpersonal, Team and Organizational (PITO) model.
ODS-7	Couple adequate support with every challenge; tailor every challenge with an appreciation that cadets develop differently and will move through the process at different speeds.
ODS-8	Use goal-oriented and standards-based approaches to build skill-set expertise.
ODS-9	Assess the effectiveness of education, training and experiential processes in accordance with the USAFA IEP, USAFAI 36-3502.

Strategic Plan Goals = G	
G-1	Focus on character and leadership development. All cadet activities and institutional assessments will elevate and integrate character and leadership development.
G-2	Strengthen our communication and reputation. Strengthen the Academy's strategic communications and enhance our reputation.
G-3	Produce highly educated and trained officers. In an institutionally-integrated manner, develop officers of character with in-depth academic, technical and military skills and competencies for leadership in air, space and cyberspace in Air Force and Joint operations.
G-4	Enhance faculty, staff and cadet diversity. Ensure we have the faculty, staff, and cadet diversity to broaden the cadet-learning environment and prepare USAFA graduates to lead in a global expeditionary Air Force.
G-5	Integrate institutional processes. Integrate the Academy's strategic planning, business and program development processes and ensure our programs have defined outcomes and measures.
G-6	Prepare and motivate the workforce. Provide a well-prepared and motivated workforce focused on the mission.
G-7	Secure and manage resources. Obtain and manage resources for our mission activities by maintaining effective institutional investment strategies and management processes.

USAFA Outcomes = O

Identifier	Tier 1	Identifier	Tier 2
O-1	Cadets who are committed to societal, professional, and individual responsibilities	O-1.1	Ethical Reasoning and Action
		O-1.2	Respect for Human Dignity
		O-1.3	Service to the Nation
		O-1.4	Lifelong Development and Contributions
		O-1.5	Intercultural Competence and Involvement
O-2	Cadets who are empowered by integrated intellectual and warrior skills	O-2.1	Quantitative and Information Literacy
		O-2.2	Oral and Written Communication
		O-2.3	Critical Thinking
		O-2.4	Decision Making
		O-2.5	Stamina
		O-2.6	Courage
		O-2.7	Discipline
		O-2.8	Teamwork
O-3	Cadets who are grounded in essential knowledge of the profession of arms and the human & physical worlds	O-3.1	Heritage and Application of Air, Space, and Cyberspace Power
		O-3.2	National Security and Full Spectrum of Joint and Coalition Warfare
		O-3.3	Civic, Cultural, and International Environments
		O-3.4	Ethics and the Foundations of Character
		O-3.5	Principles of Science and the Scientific Method
		O-3.6	Principles of Engineering and the Application of Technology

Air Force Competencies = C			
Identifier	Competency	Identifier	Sub Competencies
C-1	Employing Military Capabilities	C-1.1	Operational & Strategic Art
		C-1.2	Unit, Air Force, Joint, and Coalition Capabilities
		C-1.3	Non Adversarial Crisis Response
C-2	Enterprise Perspective	C-2.1	Enterprise Structure and Relationships
		C-2.2	Government Organization and Processes

USAF A Outcomes = O			
Identifier	Tier 1	Identifier	Tier 2
		C-2.3	Global, Regional, and Cultural Awareness
		C-2.4	Strategic Communication
C-3	Embodies Airmen Culture	C-3.1	Ethical Leadership
		C-3.2	Warrior Ethos
		C-3.3	Develops Self
		C-3.4	Followership
C-4	Leading People	C-4.1	Develops and Inspires Others
		C-4.2	Takes Care of People
		C-4.3	Diversity
C-5	Managing Organizations and Resources	C-5.1	Resource Stewardship
		C-5.2	Change Management
		C-5.3	Continuous Improvement
C-6	Strategic Thinking	C-6.1	Vision
		C-6.2	Decision Making
		C-6.3	Adaptability
C-7	Fostering Collaborative Relationships	C-7.1	Building Teams and Coalitions
		C-7.2	Negotiating
C-8	Communication	C-8.1	Speaking and Writing
		C-8.2	Active Listening