

**BY ORDER OF THE  
SUPERINTENDENT (USAFA)**

**HQ UNITED STATES AIR FORCE  
ACADEMY INSTRUCTION**



**36-3502**

**17 DECEMBER 2019**

**Personnel**

**INSTITUTIONAL EFFECTIVENESS  
PLAN**

**COMPLIANCE WITH THIS PUBLICATION IS MANDATORY**

---

**ACCESSIBILITY:** Publications and forms are available for downloading or ordering on the e-Publishing website at [www.e-publishing.af.mil](http://www.e-publishing.af.mil).

**RELEASABILITY:** There are no releasability restrictions on this publication.

---

OPR: HQ USAFA/A3/9

Certified by: HQ USAFA A3/9  
(Colonel John Garver)

Supersedes: USAFAI36-3502,  
21 October 2008

Pages: 9

---

This instruction implements Air Force Policy Directive (AFPD) 36-35, *United States Air Force Academy* and references Department of Defense Instruction (DoDI) 1322.22, *Service Academies*, and Air Force Instruction (AFI) 36-3501, *United States Air Force Academy Operations*. It provides the Superintendent with the means to assess Institutional Effectiveness (IE) of the United States Air Force Academy (USAFA) mission. This instruction applies to all USAFA personnel, codifying the responsibilities of the Superintendent, subordinate Mission Elements (ME), headquarters staff, tenant units, and applicable committees under the USAFA Corporate Process, including the Institutional Effectiveness Board (IEB). It provides guidance on the authorization and conduct of IE assessment efforts involving USAFA personnel and activities. This publication does not apply to Air Force Reserve Command units and the Air National Guard. The Office of Primary Responsibility (OPR) for this instruction is the USAFA Directorate for Operations and Analysis (USAFA/A3/9). Refer recommended changes and questions about this publication to the OPR using Air Force Form 847, *Recommendation for Change of Publication*. The authorities to waive requirements in this publication are identified with a Tier 3 (T-3) number following the compliance statement. See AFI 33-360, *Publications and Forms Management*, for a description of the authorities associated with the Tier numbers. Submit requests for waivers through the chain of command to the appropriate Tier waiver approval authority. The waiver authority for non-tiered requirements in this publication is the USAFA/A3/9. Ensure that all records created as a result of processes prescribed in this publication are maintained in accordance with (IAW) Air Force Manual (AFMAN) 33-363,

*Management of Records*, and disposed of IAW the Air Force Records Information Management System (AFRIMS) Records Disposition Schedule (RDS).

## **SUMMARY OF CHANGES**

This revision contains significant changes based on the 28 Dec 18 revision of AFI 36-3501, which superseded AFI 36-3502, *Institutional Effectiveness*, and various AF-level subject memorandums. Previous guidance on performance measures was reduced in complexity and specificity. The revision of this instruction follows the same theme. Requirements for specific assessment processes and products were removed. The lists of USAFA Officer Development System (ODS) Guiding Principles, USAFA Strategic Goals, and USAFA Institutional Outcomes were also removed, as they are already detailed in the following references, respectively: USAFA Pamphlet 36-3527, *USAFA Strategic Plan*, and AFI 36-3501. The chapter on Processes and Accountability was edited, to not duplicate the panels and committees that report to USAFA leadership IAW USAFAI 16-501. The table of contents was removed. Hyperlinks were added to [Attachments 2](#) and [3](#) in order to allow dynamic changes to the contents of those attachments without changing the intent of the root instruction. Finally, the opening paragraph and [Attachment 1](#) have been updated with correct references and mandatory statements as required by AFI 33-360.

### **1. Overview.**

1.1. **Institutional Effectiveness (IE) definition:** IE is the process of articulating the mission, setting goals, collecting data on the extent to which the mission and goals are being met, and using results to make recommendations for improvement. For most traditional, accredited colleges and universities, expectations for IE are captured in a formal document called an “Institutional Effectiveness Plan.”

1.2. DoDI 1322.22 directs all military service academies to establish quantified performance goals and measures, linked with their respective school’s mission statement to annually evaluate the performance of the academies. AFRM 36-35 similarly directs the USAFA Superintendent to develop and implement a strategic plan and subordinate operational plans, to include goals, objectives, performance-based measures, and an assessment program.

1.3. The policies, processes, responsibilities, products, and other details of this instruction satisfy the requirements listed in [Paragraph 1.2](#), as well as the intent of [Paragraph 1.1](#) as it applies to most accredited colleges and universities. Therefore, this instruction formally comprises the USAFA Institutional Effectiveness Plan (IEP).

1.4. **Institutional Research (IR) at USAFA differs from Institutional Effectiveness.** The main focus of IR (attrition reporting, survey administration, compiling cadet demographics, etc.) directly supports IE (see [Paragraph 3.2](#)). However, IR at USAFA also includes the Human Research Protection Program (HRPP) and the Institutional Animal Care and Use Committee (IACUC). This instruction does not govern either HRPP or IACUC processes at USAFA. Refer to following publications for guidance: 32 CFR 219, *Protection of Human Subjects*, DoDI 3216.02\_AFI 40-402, *Protection of Human Subjects and Adherence to Ethical Standards in Air Force Supported Research*, and DoDI 3216.01, *Use of Animals in DoD Programs*.

**2. Purpose.** The purpose of the USAFA IEP is to:

2.1. Measure effectiveness in achieving the USAFA Mission, through the USAFA Strategic Plan, USAFA Institutional Outcomes (or simply, “USAFA Outcomes), and USAFA Institutional Competencies in a repeatable and systematic manner using assessments, performance measures, and/or metrics.

2.2. Support a culture of continuous process improvement and innovation (CPI<sup>2</sup>), while providing documentation of CPI<sup>2</sup> progress with respect to the IEP. By reporting results, trending analyses and making recommendations to higher headquarters, USAFA leadership, and program/process manager, the IEB will integrate an institutional learning cycle to drive continuous process improvement.

### 3. USAFA Institutional Effectiveness Processes

3.1. **Institutional Effectiveness Board (IEB).** The purpose of the USAFA IEB is to collaborate on the assessment of numerous IE activities and processes and to make recommendations through the USAFA Corporate Process. IEB members represent their organizational leadership and others responsible for the oversight and assessment of plans, programs, activities, and/or other initiatives in their Mission Element/Directorate/Unit. Characteristics of the IEB:

3.1.1. The IEB is a coordination board, rather than a decision-making body. The IEB will consider the overall institutional impact of all recommended processes, measures, or assessments before forwarding to the USAFA Corporate Process or reporting.

3.1.2. The IEB will meet at least quarterly, with special sessions, as determined by the Chair.

3.1.3. USAFA/A3/A9 chairs and facilitates the IEB by scheduling meetings, maintaining an up-to-date membership list, providing read-ahead and briefing materials, authoring/distributing meeting minutes, and keeping an electronic record of all IEB documents on shared drives, SharePoint, or another acceptable electronic filing system.

3.1.4. Collectively, the IEB will identify and recommend IE issues and products to USAFA leadership through the USAFA Corporate Process.

3.1.5. With the exception of specific reporting requirements directed by higher authority and detailed in **Paragraph 3.2** and measurement against the dynamic goals/thresholds listed in **Attachment 2**, USAFA Mission Elements, Directorates, and Units have autonomy to assess and report on their IE activities and processes in the manner they choose, as long as the assessments or processes support measuring the USAFA Strategic Plan or USAFA Outcomes. The ability to adjust assessments based on changing assumptions, parameters, unit direction, and leadership “style” is key to providing quality IE products and recommendations. However, IEB members and their respective leadership should use repeatable and systematic measures, metrics, assessment tools, and CPI<sup>2</sup> tracking, similar to the template in **Attachment 3**, or other methods developed (or to be developed) collectively by IEB members.

3.1.6. IEB Membership. Members should represent all functions and activities that support the USAFA mission. All USAFA Mission Elements, Directorates, and Units are invited to participate. However, the following “Core” IEB members are required:

**Table 3.1. IEB Members.**

USAFA/A3/9 – Chair and Facilitator	USAFA/DF
USAFA/A1	USAFA/FM
USAFA/A5/8	USAFA/IG
USAFA/AD	USAFA/PA
USAFA/CCD	USAFA/PS
USAFA/CCLD	USAFA/RR
USAFA/CVS	10 ABW
USAFA/CW	306 FTG

3.2. **Periodic Reporting.** Independent of assessments, measures and metrics produced or reported by the IEB, USAFA/A3/9 and other Mission Element/Directorates provide other periodic reports or information that directly or indirectly support IE.

3.2.1. Per AFI 36-3501, **Paragraph 4.18**, the Academy [USAFA/A3/9, in coordination with USAFA/A1] will submit Air Force Cadet Wing End Strength to the Manpower Program Development Division [AF/A1MP] and AF/A1PT no later than the fifth of each month.

3.2.2. While not specifically mandated by policy, USAFA/A3/9 also produces and distributes various reports (monthly attrition report, annual class profiles, annual Falcon Foundation report, annual graduate summaries, etc.) to USAFA leadership and staff. Data and information from these products are often reported to higher headquarters and other external groups/agencies (USAFA Board of Visitors, General Officer Steering Committee, Congress, other universities, etc.) in the form of Requests for Information (RFIs) and Freedom of Information Act (FOIA) requests.

3.2.3. Dashboard. USAFA/A3/9 produces and updates (usually monthly) the USAFA Strategic Plan Performance Metrics Dashboard, which is a quick-reference, “snapshot” of IE efforts.

3.2.4. National Higher Education Databases and College Ranking Surveys. USAFA/A3/9 submits inputs to various external agencies which report Higher Education statistics and information nationwide and worldwide: Integrated Postsecondary Education Data System (IPEDS), The Princeton Review, U.S. News & World reports, Forbes, etc. Although USAFA is not required to participate in IPEDS under the National Center for Education Statistics (NCES) program, participation provides free analyses and assessment of USAFA compared to other participating colleges and universities. The Princeton Review, U.S. News & World Report, and other college ranking surveys provide USAFA public exposure and nationwide attention.

3.2.5. USAFA/A3/9 and other Mission Elements/Directorates/Units conduct various surveys to assess the attitudes, opinions, and intentions of cadets, graduates, and USAFA permanent party. Results and statistics from these surveys, as well as any assessments based on the results, are used internally and externally to measure IE. Guidance on approving and conducting surveys within the AF and specifically, USAFA, can be found in AFMAN 36-2664, *Personnel Assessment Program*, **Chapter 5**, and the USAFA Supplement to the same manual. USAFA/A3/9 maintains an Assessment Plan, a 4-year, repeating cycle of all major surveys conducted each spring, summer, and fall. Among

others, the Assessment Plan includes all surveys mandated IAW AFI 36-3501 **Paragraph 1.2.6** (annual cadet climate survey, annual permanent party climate survey, and mission measures assessment surveys.)

3.2.6. Annual Report. Per AFI 36-3501, **Paragraph 2.2**, USAFA [A3/9] must provide an annual report to the Chief, Accessions and Training Division (AF/AIPT), covering each academic year from Graduation to Graduation. The report is due no later than 75 days after the final day of the reporting period. The format and content of the annual report are not mandated, but **Paragraph 2.2.2** of AFI 36-3501 requires that, “The Academy will focus its annual report on key output and customer measures which support the vision, mission statement, and organizational strategy of the Academy, including the Preparatory School. Metrics will include those required in DoDI 1322.22, Section 9.”

3.3. **USAFA Course of Instruction (COI) Assessments.** The USAFA COI is described in USAFAI 36-3526. COI assessments can be created and presented to USAFA leadership through the IEB, or independently, depending on the specific COI output(s) being measured or assessed. COI assessments will usually be made in conjunction with USAFA Outcomes assessment activities as described in **Paragraph 3.4.4**

3.4. **USAFA Outcomes Assessments.** In 2016, the Superintendent approved a revised set of institutional outcomes that describe the knowledge, skills, and values that cadets are expected to possess upon graduating, then commissioning as officers in the USAF. These USAFA Institutional Outcomes (or simply, “USAFA Outcomes”) are listed in AFI 36-3501, **Attachment 1**. The purpose of the USAFA Outcomes is to provide strategic direction for USAFA’s education, training, and experience. Mission Elements, Directorates, and Units are expected to work together to help cadets achieve the USAFA Outcomes. Outcomes Assessments are developed and reported through the following process:

3.4.1. For each of the USAFA Outcomes, USAFA maintains an Outcome Team (OT), a cross-functional team of faculty and staff who oversees the development, assessment, and improvement of cadet achievement with respect to that specific outcome. USAFA also maintains an Outcome Strategy Team (OST), which provides oversight and guidance to the OTs.

3.4.2. Most education, training, and experiences within the COI are formally aligned with at least one of the USAFA Outcomes. To align with a particular outcome, all courses, programs, and experiences will be approved by the processes described in the COI approval process. Those courses, programs, and experiences that are formally aligned with a specific outcome will be identified as such in the USAFA Curriculum Handbook (or the USAFA COI Handbook if/when that document is approved).

3.4.3. By formally aligning with a specific outcome, representatives of that course, program, or experience shall work with the OT associated with that outcome, contribute substantially to the development and assessment of the outcome, and recommend changes, as appropriate, based on assessment results.

3.4.4. Outcomes Teams will create and present significant assessment findings to USAFA leadership through the OST, then IEB. The OST and OTs have autonomy to assess and report on their IE activities and processes in the manner they choose, similar to the way IEB members have autonomy to present assessments IAW **Paragraph 3.1.5**

3.4.5. The relationship between USAFA Outcomes and the USAFA COI is described in more detail in USAFAI 36-3526.

#### **4. Roles and Responsibilities**

##### **4.1. The Superintendent (HQ USAFA/CC):**

4.1.1. Is ultimately responsible for the USAFA IEP per the requirement in AFPD 36-35 to develop "...performance-based measures, and an assessment program..."

4.1.2. Establishes mechanisms by which Academy and Air Force leadership can assess the success of the COI, per AFI 36-3501, [Paragraph 1.2.12.12.3](#)

##### **4.2. The Vice Superintendent (HQ USAFA/CV):**

4.2.1. Is directly responsible for the execution, assessment, and improvement of the Academy's COI, per AFI 36-3501, [Paragraph 1.2.13.5](#)

##### **4.3. USAFA/A3/9:**

4.3.1. Serves as the lead agent for all aspects (policies, processes, and reports) of the USAFA IEP.

4.3.2. Forwards IEP assessment issues, reports, and recommendations to the Vice Superintendent and/or Superintendent through the USAFA Corporate Process.

##### **4.4. USAFA Mission Elements, Directorates, and Units:**

4.4.1. Use their discretion and area expertise, in consultation with the IEB and approval from the USAFA Corporate Process, to assess IE of their activities and processes and to make recommendations for IAW [Paragraph 3.1.5](#)

4.4.2. Identify Core IEB members or optional IEB members IAW [Paragraph 3.1.6](#)

4.4.3. Provide inputs to USAFA/A3/9 for the Annual Report and other periodic/normal processes as indicated in [Paragraph 3.2](#)

4.4.4. Use the dynamic goals/thresholds listed in [Attachment 2](#) as references, if applicable to IE assessments or reports.

JAY B. SILVERIA, Lt Gen, USAF  
Superintendent

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

AFI 33-360, *Publications and Forms Management*, 1 December 2015  
AFI 36-2014, *Commissioning Education Program*, 16 February 2012  
AFI 36-3501, *United States Air Force Academy Operations*, 27 December 2018  
AFMAN 33-363, *Management of Records*, 1 March 2008  
AFMAN 36-2664, *Personnel Assessment Program*, 15 May 2019  
AFPD 36-35, *United States Air Force Academy*, 13 March 2018  
DoDI 1322.22, *Service Academies*, 24 September 2015  
USAFAI 16-501, *Corporate Process and Governance*, 7 June 2017  
USAFAI 36-3507, *Curriculum Handbook and Curriculum Change Control*, 28 March 2007  
USAFAI 36-3526, *USAF Course of Instruction*, 1 November 2012  
USAFAPAM 36-3527, *The Officer Development System: Developing Officers of Character*, 23 September 2013

***Abbreviations and Acronyms***

**AF**—Air Force (synonymous with USAF)  
**AFI**—Air Force Instruction  
**AFMAN**—Air Force Manual  
**AFPD**—Air Force Policy Directive  
**CPI<sup>2</sup>**—Continuous Process Improvement and Innovation  
**COI**—Course of Instruction  
**DoDI**—Department of Defense Instruction  
**FOIA**—Freedom of Information Act  
**HQ**—Headquarters  
**HRPP**—Human Research Protection Program  
**IACUC**—Institutional Animal Care and Use Committee  
**IAW**—in accordance with  
**IE**—Institutional Effectiveness  
**IEB**—Institutional Effectiveness Board  
**IEP**—Institutional Effectiveness Plan  
**IR**—Institutional Research

**ME**—Mission Element

**ODS**—Officer Development System

**OPR**—Office of Primary Responsibility

**OST**—Outcomes Strategy Team

**OT**—Outcome Team

**RDS**—Records Disposition Schedule

**RFI**—Request for Information

**USAF**—United States Air Force (synonymous with AF)

**USAFA**—United States Air Force Academy

## Attachment 2

### USAFA INSTITUTIONAL EFFECTIVENESS MEASURES, METRICS, GOALS, THRESHOLDS, AND REPORTING REQUIREMENTS

#### Figure A2.1. USAFA Institutional Effectiveness Measures, Metrics, Goals, Thresholds, and Reporting Requirements

The contents of this attachment are dynamic in nature and may change without changing the intent of the root instruction. Specific performance metrics are also subject to approval by SAF/MR, IAW AFI 36-3501 and **Paragraph 2.2.2**. USAFA/A3/9 will document/file all significant changes.

Attachment 2 is located on the following USAFA IEB SharePoint site:

<https://sharepoint.usafa.edu/hq/A3OA/IEB/IEB%20Library/Publications/USAFAI%2036-3502%2C%20Attachment%202.docx>

## Attachment 3

### USAFA STRATEGIC GOALS AND ASSESSMENTS TEMPLATE

#### Figure A3.1. USAFA Strategic Goals and Assessments Template

The contents of this attachment are dynamic in nature and may change without changing the intent of the root instruction. USAFA/A3/9 will document/file all significant changes.

Attachment 3 is located on the following USAFA IEB SharePoint site:

<https://sharepoint.usafa.edu/hq/A3OA/IEB/IEB%20Library/Publications/USAFAI%2036-3502%2C%20Attachment%203.xlsx>