



DEPARTMENT OF THE NAVY
OFFICE OF THE CHIEF OF NAVAL OPERATIONS
2000 NAVY PENTAGON
WASHINGTON, D.C. 20350-2000

IN REPLY REFER TO

OPNAVINST 5300.8C

N10

24 Apr 08

OPNAV INSTRUCTION 5300.8C

From: Chief of Naval Operations

Subj: COORDINATION AND CONTROL OF PERSONNEL SURVEYS

Ref: (a) DoD 8910.1-M, Management and Control of Information Requirements, of 30 Jun 98
(b) DoD Instruction 1100.13, Surveys of DoD Personnel, of 21 Nov 96
(c) SECNAV M-5214.1 of 1 Dec 05
(d) SECNAVINST 3900.39D
(e) SECNAVINST 5720.47B
(f) SECNAVINST 5720.42F
(g) SECNAVINST 5211.5E

Encl: (1) Procedures for Requesting Personnel Survey Approval
(2) Sample Survey Endorsement Letter
(3) Sample Survey Approval Request

1. Purpose. To delineate policy and procedures for the management, control, review, approval and licensing of Navy military and civilian surveys, in amplification of references (a), (b) and (c). This instruction has been revised substantially and should be read in its entirety.

2. Cancellation. OPNAVINST 5300.8B.

3. Objective. To ensure Navy personnel surveys provide maximum benefits to the widest number of Navy users at the lowest possible cost and with the least disruption to the operational tempo (OPTEMPO) of the Fleet.

4. Applicability. This instruction applies to all surveys of Department of the Navy (DON) military members and their families and Navy civilian personnel. Marine Corps surveys are administered under authority of the Commandant, United States Marine Corps. Surveys which include active duty or civilian members of other Department of Defense (DoD) components or include members of more than one component (e.g., Army and Navy) are reviewed by the Defense Manpower Data Center (DMDC) following DoD survey approval procedures in references (a) and (b). This instruction covers surveys of active duty and reserve

Navy Sailors and their family members, civilian employees, as well as those retired from active duty, reserve, or civilian status. This instruction does not apply to surveys of family members of retirees, government contractors, and members of the general public. Surveys of those populations require Office of Management and Budget (OMB) approval. Surveys of Navy retirees, spouses and family members of active duty Sailors will be considered for approval only if they relate to existing or proposed military issues, programs or policies. Otherwise, surveys of these groups would also require OMB approval. Surveys of survivors of military Sailors may be approved under this instruction if the topic relates to survivor benefits or other areas relevant to Navy or military programs and policies.

5. Background. Navy personnel surveys are a valuable means of collecting information from Navy Sailors and civilian employers about various aspects of naval service and civilian employment. They provide data which enable Navy leaders to make informed decisions, evaluate the impact of existing programs and policies, and pulse opinions in advance of new and proposed interventions. Coordination and control of surveys is required in order to maintain quality control so that Navy surveys are technically sound, avoid duplication of effort, minimize the impact of survey administration on Navy OPTEMPO and provide for the life-cycle management of Navy surveys.

a. Quality control review mechanisms are essential. Survey results often influence policy decisions affecting Sailors' welfare and the allocation of Navy resources. Poorly designed surveys may produce meaningless results, which can impact policy decisions inappropriately. They can also influence Sailors' willingness to cooperate in future surveys, thereby depriving leadership of important information. This directive establishes review mechanisms to ensure that only technically sound surveys are supported and approved.

b. Regulation is required because surveys represent a significant expenditure of Navy resources and sometimes are accomplished at the expense of other efforts. Further, regulation avoids duplication of effort, ensures the cost effective application of survey data, and enables wide access to Navy survey information.

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6. Definitions

a. A "survey" or "personnel survey" is a systematic data collection, using personal or telephonic interviews or self-administered questionnaires, from a group of 10 or more persons as individuals or representatives of organizations. The questionnaires or interview protocols typically contain identical questions which elicit attitudes, opinions, behavior and related demographic, social and economic data to be used for statistical compilations for research and/or policy assessment purposes. For the purposes of this instruction, the terms "surveys" and "questionnaires" will be used interchangeably. "Polls" typically refer to personnel surveys which are brief and narrow in scope. Surveys and polls may be conducted via the internet, postal mail, group or individual interviews, telephone inquiries or through other computer or electronic media (e.g., e-mail, bulletin boards, interactive programs, voicemail, text messaging, hand-held devices, etc.). Both surveys and polls may require Navy-wide review, approval and licensing as specified by this instruction.

(1) "Attitude," "opinion," "belief" and "fact-finding" surveys are personnel surveys which request self-reported information relevant to specific organizational missions, policies, or procedures. These surveys typically address such topics as organizational/command climate, job satisfaction, career development, retention intentions, diversity issues, quality of life and health issues, program needs assessment and program evaluation.

(2) "Occupational task" or "skills assessment" surveys are personnel surveys which inquire about discrete, technical, job related tasks and competencies within a specified officer, enlisted or civilian community. These types of surveys address such factors as task duration, frequency and importance. The amount of training, skill level or experience required to perform job related tasks are also often found on these surveys.

(3) "Recurring" surveys are personnel surveys which collect information from individuals on a continuing basis at specified intervals or milestones such as annually, upon promotion, change of station, after completion of training, etc. The survey instrument must remain unchanged or include minimal changes (i.e., 90 percent of the items remain the same as the previous survey) throughout the Report Control Symbol (RCS) expiration date to retain its definition as "recurring." Otherwise, it would be viewed as a separate survey effort.

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(4) "Interviews" are defined as face-to-face discussions with individuals or groups including focus group interviews to obtain self-reported information which may be used to draw conclusions or arrive at generalizations about groups of individuals.

(5) A "pretest" or "pilot test" is a test of survey procedures using a draft of the data collection instrument to determine its appropriateness. A pretest is conducted with a small number of people (usually from 10 to 50). Revisions of the planned procedures and data collection instrument are based on the findings of the pretest.

b. A Report Control Symbol (RCS) is the number requested by the Navy Survey Approval Manager and assigned to a survey by the Navy Reports Manager after it has been reviewed and approved for Navy administration. RCS numbers have associated expiration dates and are typically authorized for three years or less and can be extended or renewed by the Navy Reports Manager at the request of the Navy Survey Approval Manager.

c. A "survey sponsor" is a Navy Flag officer, Senior Executive Service (SES) appointee or recognized leader (e.g., Chief of Staff) who may benefit from or has a direct interest in the survey results. Surveys must directly support an identified Navy mission requirement of the sponsor. Sponsors may not necessarily fund survey projects, but they are always responsible for survey content.

d. A "performing activity" is the organization which designs, develops, analyzes and reports on an approved Navy personnel survey. Navy research organizations (e.g., Navy Personnel Research Studies and Technology (NPRST) Division, Naval Health Research Center, Navy Human Performance Center), selected headquarters offices and Navy contractors are examples of performing activities. Depending on the distribution of functions and tasks of a specific survey, there may be more than one performing activity. In such cases, one of the performing activities, normally a Navy research organization, will be tasked with the lead responsibility to coordinate the survey.

e. An "executing activity" is the organization or contractor tasked by a Navy sponsor to coordinate the assembly, printing, mailing, data collection and/or web design for an approved Navy personnel survey when development and/or analyses

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are to be performed by another activity. The performing activity may also serve as the executing activity.

7. Exemptions

a. Exempted from provisions of this instruction are Navy Occupational Task Analysis Program (NOTAP, NAVMAC) surveys and related job, task and competency analysis efforts; Navy Training Importance Surveys (TIS, NAVMAC); Navy Training Evaluation Surveys (i.e., those which determine the effectiveness of a specific training course among students who took the course); and surveys conducted by bases or commands (e.g., Navy Personnel Command) when executed entirely within the base or command (e.g., command equal opportunity surveys, base or command MWR surveys, etc.). Also, exempt from this instruction are surveys conducted by the Naval Inspector General or other Navy or DoD investigative agencies when the surveys are part of their recognized and official duties.

b. Course evaluation surveys are exempt from provisions of this instruction provided the survey deals specifically with content provided in or the processes used to provide the course in question and/or the survey is conducted while the course is in session. Course impact evaluations are also exempt from the provisions of this instruction provided such evaluations deal only with materials and events covered by the training received, are sent only to the students and supervisors, and are administered no more than one year following the course termination.

c. On-site/point of service, customer, and patient satisfaction surveys are excluded from provisions of this instruction provided that such data collection efforts specifically relate to services provided on-sight. Such customer and patient satisfaction surveys must be intended to enhance the services of that specific facility and may not be used to primarily benefit a larger organization. Customer, patient, and other "Customer Service" survey efforts conducted away from the point of service are not exempted from this instruction.

d. All surveys of Navy Sailors, including those exempted from approval under this instruction, must conform to these basic requirements:

(1) Participation in the survey must be voluntary; confidentiality of the individual responses should be ensured;

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(2) A Privacy Act Statement (PAS) should be included at the beginning if demographic or other identifying information is collected (e.g., pay group, race, etc.); and

(3) Institutional Review Board (IRB) review shall be conducted if the survey constitutes human subjects research as defined by reference (d). Focus groups that involve more than 10 personnel require review and approval per guidance from OMB and DoD. Focus groups and interviews for the purpose of development and pretest of survey questionnaires or for clarification of survey results can be reviewed and approved as part of the larger survey project.

e. Other requests for exemptions not specifically listed above may be made by memo to the Navy Survey Approval Manager. Typically, the approval of the Navy Survey Approval Manager will be required to approve requests for exemption that do not fall into these categories.

8. Responsibilities. The Chief of Naval Operations, Modeling and Analysis Branch, CNO (N104), or other designee in consultation with the Director, NPRST shall appoint the Navy Survey Approval Manager. The appointment shall be for a period of three years and may be renewed in consultation with Director, NPRST (BUPERS-1) for subsequent three-year periods. The Navy Survey Approval Manager will typically be an individual with training and background in personnel surveys and have familiarity and experience with Navy and DoD surveys.

a. The Navy Survey Approval Manager will:

(1) Provide control and coordination of all personnel surveys conducted within the Navy by ensuring that Navy activities:

(a) Encourage analyses of existing databases rather than conduct new personnel surveys.

(b) Encourage use of recurring personnel surveys to the maximum extent possible rather than employ one-time survey efforts.

(c) Promote items that have been successfully employed in past surveys with Navy populations, if possible, both to improve questionnaire validity and to enable the analysis of trends affecting specific areas of concern.

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(d) Promote use of standard items, such as demographic information for gender, race/ethnic status, pay grade, etc., if relevant and necessary to allow comparative data analysis between surveys.

(2) Coordinate and process all requests for Navy Sailors to assist in survey projects sponsored by DoD, or other military, government departments, or agencies.

(3) Approve or disapprove requests to conduct personnel surveys within the Navy under reference (a), request a Report Control Symbol from the Navy Reports Manager for approved surveys, and execute the responsibilities of surveys control manager under references (a) and (c).

(4) Recommend surveys that may qualify as human subjects research for IRB review per reference (d).

(5) Help survey sponsors identify existing databases and archives that might make conducting a Navy personnel survey unnecessary.

(6) Identify for performing activities items from the Navy-survey item pool.

(7) Provide Navy representation on the Inter-Service Survey Coordinating Committee (ISSCC). This committee monitors surveys directed by the DoD and military services. The Navy Survey Approval Manager will be the primary Navy representative to the ISSCC and may designate an alternate member with the approval of the Modeling and Analysis Branch (CNO (N104)).

(8) Provide detailed assistance in the design, execution, and/or analysis of a personnel survey when authorized and funded.

(9) Provide technical review of proposed survey instruments for which Navy survey approval is requested.

(10) Request copies of all approved surveys and final reports and maintain a document library.

(11) Maintain an electronic list of approved Navy surveys.

(12) Provide technical advice on survey development, administration, analysis, and presentation for Navy leadership, policymakers, action officers, and other members of the Navy community.

b. The Modeling and Analysis Branch (CNO (N104)) will:

(1) Provide resource management and oversight for the Navy Survey Approval Manager on behalf of the Chief of Naval Operations. The Navy Survey Approval Manager will prepare an annual brief for CNO (N104) that will include a summary of Navy surveys approved, rejected and extended, and a synopsis of other survey-related activity for the past year. Additional briefings will be provided at the request of CNO (N104).

(2) Declare a strategic survey pause in cases of Navy, military, or national emergencies.

(3) Serve as the enforcement mechanism to ensure compliance with this policy. In cases of noncompliance, CNO (N104) may require cessation of the project, remedial action such as submission of application materials, or disciplinary actions such as a letter or notification to the survey sponsor, appropriate Commanding Officer/Officer in Charge, or others in the chain of command. Furthermore, violators of this policy may lose the privilege of administering Navy surveys either temporarily or permanently.

(4) Serve as an appeal mechanism for decisions made by the Survey Approval Manager. An applicant who is dissatisfied with the decision of the Survey Approval Manager may appeal the decision to CNO (N104), who will review the application and either support the original decision or return it to the Survey Approval Manager with a recommendation to reconsider.

c. Survey sponsors will:

(1) Validate the requirement for a survey by considering alternative sources of information including the use of existing survey and personnel databases and archival sources.

(2) Analyze the cost/benefit of the survey, weighing not only the cost to collect the data, but also the impact on the OPTEMPO of the Fleet. Because of the cost burden of completing

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surveys, those intended solely for use by students to complete an educational requirement (e.g., Masters Degree thesis for graduate program) will not typically be approved without sponsorship by a Navy Flag/SES-level sponsor or suitable designate (e.g., Chief of Staff) whose mission is supported by the proposed survey effort.

(3) Approve the item content of the sponsored surveys.

(4) Provide endorsement to the Navy Survey Approval Manager to conduct the survey, as outlined in enclosure (1).

(5) Generate and promulgate a project communication plan whereby study results will be publicized to survey respondents and Fleet customers; a summary of results will be provided to the Navy Survey Program Manager for transmittal to CNO (N104).

d. Performing or executing activities are responsible for the technical quality of survey design, administration, and analysis of survey results. They will:

(1) Contact the Navy Survey Approval Manager prior to survey development.

(2) Obtain existing questions and results of related surveys for use in the survey, when possible.

(3) Pretest survey on members of the representative population, when possible.

(4) Develop cost-effective analysis, sampling, and administration plans.

(5) Submit to the Navy Survey Approval Manager a request for survey approval per enclosure (3), completed OPNAV 5214/10 Report Analysis Data, sponsor letter(s) of endorsement (an example is provided in enclosure (2)), and final draft survey package in final form prior to reproduction for administration.

(6) Provide the final report/briefing of the survey results to the Navy Survey Approval Manager.

(7) In cases where the project involves Human Subjects Research as defined by reference (d), provide documentation that the data collection effort has been reviewed and approved by a

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Navy IRB or has been determined to be exempt from such review by the appropriate IRB authority as described by reference (d). In cases of IRB approval, documentation should include the study assurance number and effective date. The Navy Survey Approval Manager may require that the applicant obtain Navy IRB approval if he/she determines that the project may qualify as Human Subjects Research under reference (d).

(8) In the case of Internet-based surveys, provide specifications for conducting the data collection effort in accordance with Navy policy as specified in reference (e). Specifically, "web-based" or "internet-based" surveys will not be accessible to the general public. Surveys that are hosted on publicly accessible Internet sites, including DON web sites and DON contracted web sites, shall require filtration or protection. This requirement can be met by password protection for access to the survey. Alternatively, web-based surveys may be conducted on Navy Intranet sites (e.g., Navy Knowledge Online (NKO)) that are password protected. This policy applies to all Navy web surveys regardless of whether they require Navy survey approval or are exempt.

(9) Ensure that all requests for release of survey data are coordinated through the survey sponsor. News media requests for survey information should be coordinated through the sponsor and the sponsor's Public Affairs Office.

(10) In the event that a performing activity requires more time to complete a survey project beyond the expiration date of the original RCS, send a request for extension to the Navy Survey Approval Manager detailing the request and providing a rationale for the extension.

e. Requests for participation of Navy personnel or assistance in survey projects from non-governmental sources will be subject to the provisions of this paragraph. Official sanction for conducting or assisting in surveys requested by other than governmental sponsors is only to be given to surveys approved under this instruction. Approval will be based on:

(1) An identified Navy interest in the projected results of the survey.

(2) The protection of Navy personnel from unwarranted invasions of privacy.

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(3) The propriety of extending recognition, special assistance, or privileges benefiting an individual or commercial interest.

(4) Compatibility with the provisions of this instruction.

(5) Confirmation that administering the survey will not interfere with the missions of the Navy activities involved.

f. Survey recipients will:

(1) Ensure that only authorized surveys are completed while on-duty or at work. Upon discovery of an unauthorized survey, addressees will notify the Navy Survey Approval Manager. If appropriate, the Navy Survey Approval Manager will refer the case to CNO (N104) for appropriate remedial action on behalf of the Chief of Naval Operations.

(2) Sailors will be neither encouraged nor discouraged from responding to surveys addressed to them as individuals while off-duty.

(3) Replies to personnel surveys that involve disclosure of classified information are prohibited under any circumstances. Replies to surveys without RCS numbers that request information derived from performance of official duties when that information is not generally made available to the public are also prohibited.

9. Actions for Obtaining Survey Approval. Only surveys endorsed by Flag/SES level sponsors or their designates and approved by the Navy Survey Approval Manager will be considered for Navy survey approval.

a. Upon consideration of data requirements and prior to survey development, survey sponsors/performing or executing activities will contact the Navy Survey Approval Manager to:

(1) Determine if archival data and/or survey questions exist that may be used to fill the current need.

(2) Request previously used survey items from Navy and DoD surveys.

b. Upon completion of survey design and development, performing or executing activities will submit a copy of

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material described in enclosure (1) to the Navy Survey Approval Manager via the survey sponsor. When possible, electronic copies of the survey application including OPNAV Form 5214/10 will be submitted to the Navy Survey Approval Manager for review and approval. Submission materials required for approval can be obtained from the Navy Survey Policy website:
http://www.npc.navy.mil/AboutUs/NPC/SurveyPolicy/submission_requirements.htm.

c. The Navy Survey Approval Manager will review the request for approval relative to the criteria described in enclosures (1) and (2) and determine if sponsor requirements justify execution of the proposed survey. Prior to approval, the Navy Survey Approval Manager may request written technical reviews of the survey from Navy survey subject matter experts at NPRST, other Navy research organizations (e.g., Office of Naval Research, Human Performance Center), or Navy-affiliated research organizations (e.g., Center for Naval Analyses).

d. The Navy Survey Approval Manager will integrate the technical reviews of the survey with the overall review of the application and provide them to the applicant. The applicant should respond to the review and comments in a point-by-point fashion, make changes requested and provide justification/explanation if certain revisions cannot be made. The Navy Survey Approval Manager will determine if the changes are acceptable and make a decision to approve the survey, seek further changes, or disapprove the survey application.

e. Upon approval of the survey, the Navy Survey Approval Manager will request an OPNAV RCS and provide this symbol and expiration date to the survey sponsor or performing/executing activity in an email. The Navy Survey Approval Manager will maintain a list of all approved surveys that will be updated regularly and submitted to CNO (N104).

10. Individual Rights and Safeguards

a. Voluntary Participation. Participation in Navy personnel surveys is voluntary. This applies to both approved Navy-wide personnel surveys and to exempt surveys including those administered at the base/command level. Refusal to participate in a personnel survey shall not result in adverse impact on any member. Furthermore, Navy surveys shall not include mandatory questions; completion of all questions will be

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voluntary. All approved surveys will include a PAS regarding the voluntary nature of participation. See enclosure (1).

b. Guaranteed Confidentiality. Whenever personal descriptive information is requested in a survey (e.g., rank, gender, billet), respondents may compromise their anonymity. The survey sponsor is ultimately responsible for safeguarding individual rights to personal privacy and anonymity. When surveys request identifying data and disclosure of the responses outside the research community could reasonably place the subjects at risk of criminal or civil liability, be damaging to the subjects financial standing, employability or reputation, or could cause psychological harm, the request will be referred for Protection of Human Subjects review and approval under authority of reference (d). In all cases, the confidentiality of the individual responses shall be ensured and access to individual survey responses shall be restricted to those analyzing the results. Responses provided by individuals will generally be statistically summarized with the responses of others and not be attributable to any single individual. It is inappropriate to break out survey results for subgroups with five or fewer respondents.

c. Freedom of Information Act (FOIA). Personnel surveys usually involve personal attitudes, perceptions, and beliefs. Divulging an individual's survey responses could cause harm or embarrassment to the individual. Therefore, if a FOIA request is received for a specific individual member's response to an approved Navy survey, exemption (b)(6) described in paragraph 6 of enclosure (2) to reference (e) (5 U.S.C. 552(b)(6)) should be considered as it may constitute a clearly unwarranted invasion of personal privacy, per reference (f). In those cases where a requester is seeking copies of all/some responses to a survey, exemption (b)(2) may apply.

d. Privacy Act Statement (PAS). Survey sponsors and performing activities have joint responsibility to comply with reference (g) in protecting the right to privacy of individual Navy personnel. A PAS (see enclosure (1)) will be displayed prominently on all Navy personnel surveys without exception. The statement will identify the authority for survey administration (including RCS and expiration date), advise respondents of the purpose and routine uses of the survey, indicate that the survey is voluntary, explain the intended use(s) of the data and describe measures used to safeguard

confidentiality. For surveys deemed to be Human Subjects Research per reference (d), an IRB may also require informed consent language in conjunction with or in addition to the PAS.

e. Reporting. No written or oral reports or summaries shall present data that would identify the responses of any individual. Summaries should always aggregate individuals into groups sufficiently large enough (usually greater than five) to protect the anonymity of individual survey respondents.

11. Form. OPNAV 5214/10 Report Analysis Data is available for download on the Navy Survey Policy website:
http://www.npc.navy.mil/AboutUs/NPC/SurveyPolicy/submission_rqmts.htm.



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PROCEDURES FOR REQUESTING PERSONNEL SURVEY APPROVAL

1. Letter Requesting Survey Approval. Performing activities submit requests for survey approval to the Navy Survey Approval Manager, via email. Requests should outline the survey execution plan by addressing briefly (maximum four pages) the following information:

a. Purpose. Explain why the survey is required. Specify pending decisions and actions to be affected by survey results. Indicate to what population results will be generalized.

b. Justification. Explain why a survey must be conducted instead of gathering information some other way. Mention any alternatives to a survey/questionnaire/interview that were considered.

c. Participation. Identify the sampling method (e.g., random, stratified, etc.) and the number of individuals needed for the survey sample. Provide a breakdown of key subgroups of interest, desired confidence level for results, and the rationale for subgroup comparisons. For recurring surveys, indicate the number of people to be surveyed for each administration. Indicate the date after which the survey will no longer be administered and responses to it no longer needed.

d. Technical Development

(1) Identify the activity responsible for survey design, distribution, data collection, data analysis, and reporting. Identify the qualifications and organizational affiliation of the individual responsible for technical oversight of the survey (i.e., principal investigator, technical director, etc.).

(2) Provide an outline of the procedures including all major steps.

(3) Describe the administration method and indicate the average time to complete the survey as reported in the OPNAV 5214/10, Report Analysis Data, enclosed with the survey approval request package. If the project qualifies as Human Subjects Research include documentation detailing IRB approval in accordance with reference (d).

e. Communications Plan. Outline a plan of how the results of the study will be communicated.

(1) Include a description of the methods the performing activity will use to report the results of the study to the sponsor (e.g., in-person brief, technical report).

(2) Describe the method(s) to be used to transmit major findings to the respondents (e.g., e-mail message to participants, providing access to major results page on the performing activity's web site).

(3) Provide an estimate of when the results would be available for transmission to the Navy Survey Approval Manager to be posted on a Navy-wide web site. If distribution of the results Navy-wide is not appropriate, provide a rationale or justification for this.

f. Sponsor Point of Contact. Identify the sponsor point of contact by command, code, name, commercial and DSN telephone numbers, facsimile number, and e-mail address.

g. Performing Activity Point of Contact. Identify the performing activity point of contact by command, code, name, commercial and DSN telephone numbers, facsimile number, and e-mail address.

2. Final Draft Survey. This package should contain the following:

a. Cover letter(s) or instructions to accompany the survey when it is administered.

b. The survey itself, with the Privacy Act Statement prominently displayed. This statement describes the authority, purpose and confidentiality of the survey data. It provides assurance that participation is entirely voluntary and must, without exception, appear prominently on all approved questionnaires regardless of whether personal identifiers are requested. Position the statement in such a manner that individuals from whom the information is being collected will be informed about the act before furnishing any information. For computer or web-based surveys, the Privacy Act Statement should also be clearly displayed at the beginning of the survey.

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Privacy Act Statements are assigned by the cognizant Navy Privacy Act Officer. A sample Privacy Act Statement follows:

PRIVACY ACT STATEMENT

Authority to request this information is granted under 5 U.S.C. 301, Departmental Regulations; 10 U.S.C. 5031 and 5032: and (If SSN is requested add: Executive Order 9397). License to administer this survey is granted per OPNAVINST 5300.8C under OPNAV Report Control Symbol: _____ which expires __/__/__. Personal identifiers will be used to (explain uses, e.g., conduct follow-on research, to track data trends over time, etc.)

PURPOSE: The purpose of this survey is (state purpose for which the data are being collected, e.g., to collect data to evaluate existing and proposed Navy personnel policies, procedures and programs.)

ROUTINE USES: The information provided in this survey will be analyzed by (name of command). (If a contractor is executing the survey, name the Navy command to which the contractor is responsible). The data files will be maintained by Name of Command or Executing Activity where they may be used for determining changing trends in the Navy, etc.).

CONFIDENTIALITY: All responses will be held in confidence by the (name of command). Information you provide will be statistically summarized with the responses of others and will not be attributable to any single individual.

PARTICIPATION: Completion of this questionnaire is entirely voluntary. Failure to respond to any of the questions will NOT result in any penalties except possible lack of representation of your views in the final results and outcomes.

3. Report Analysis Data Form (OPNAV 5214/10)

a. The Report Analysis Data estimates the cost to have members complete the survey. OPNAV 5214/10 is required by reference (c).

b. Estimated hourly rates for military Sailors can be derived from monthly military pay tables such as those published

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in Navy Times. Using current fiscal year dollars for each pay grade to be surveyed, estimate the hourly wage using the formula: (.01) times the highest monthly base pay for that specific grade. A copy of the form and a link for military pay tables can be found at: http://www.npc.navy.mil/AboutUs/NPC/SurveyPolicy/submission_rqmts.htm.

c. Estimate the time to complete a survey. Time estimates should be indicative of the amount of lost time from work or other activities (including off-duty time) due to survey completion. If surveys are to be completed in group settings, include the time to assemble members, provide instruction, distribute information and retrieve survey materials.

4. Letter(s) of Endorsement/Transmittal

a. A letter indicating survey sponsor endorsement signed by a Flag/SES or approved designate should be sent to the Navy Survey Approval Manager. The letter can be transmitted electronically via email.

b. Each sponsor endorsement letter must:

(1) Enclose a completed copy of OPNAV 5214/10 which reflects number of people and cost information derived, or

(2) Include the following language and cost data from the OPNAV 5214/10: "This survey will require (total number) - man hours at an approximate cost to the Navy of (cost)."

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SAMPLE SURVEY ENDORSEMENT LETTER

DEPARTMENT OF THE NAVY
Office of the Chief of Naval Operations
2000 Navy Pentagon
Washington, D.C. 20350-2000

5214
Ser N104/XXX
Date

From: Name of Flag/SES-level Sponsor Organization (e.g.,
Sponsoring Organization)
To: Navy Survey Approval Manager, INCLUDE NAME AND CODE OF
CURRENT NAVY SURVEY APPROVAL MANAGER)
Subj: ENDORSEMENT OF (ENTER SURVEY NAME HERE)
Ref: (a) OPNAVINST 5300.8C

1. (Name of Flag-level sponsor's organization) requires information on (state subject of survey). The survey proposed by (State the name of the performing activity) is an effective means for gathering this information in support of the following mission(s) (state the specific Flag mission(s) the survey data will support). I strongly urge approval of the proposed survey of new recruits.

2. I understand that this survey will require (TOTAL amount of Sailor time required to complete the study, in manhours per year from the OPNAV Form 5214/10), at an approximate cost to the Navy of (state total cost to the Navy including cost of Sailors work time from the OPNAV Form 5214/10). I consider this to be a necessary and cost-effective investment in the Navy's future.

3. The Performing Activity (state the name of the performing activity (e.g., Navy Personnel Research, Studies and Technology (PERS-1)) will report the results of the survey to the sponsor (Name of Sponsor) in the form of (state the product performing activity will provide to sponsor (e.g., Power Point briefing, technical report, etc). In addition, the sponsor will provide information regarding major findings to the respondents and the Fleet in the form of (state how the respondents will be informed about the major findings of the survey (e.g., Navy Times

Enclosure (2)

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Subj: ENDORSEMENT OF (ENTER SURVEY NAME HERE)

article, Navy Media Center program such as All Hands or Navy News this week "factoid"). A summary of the results and copies of relevant briefings/reports will be sent to the Navy Survey Approval Manager for inclusion in the Navy-wide survey archives.

4. The sponsor will provide assistance as needed to promote and secure access to applicable survey respondents including command-to-command communication.
5. Per reference (a), the sponsor is responsible for approving survey item content.

Signed

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SAMPLE SURVEY APPROVAL REQUEST

ORGANIZATION'S LETTERHEAD

5214
Ser 12/xx
Date

From: Head Marketing Department, Navy Recruiting Command
To: Navy Survey Approval Manager
Via: Commander, Navy Recruiting Command

Subj: REQUEST FOR APPROVAL OF NAVY PERSONNEL SURVEY

Ref: (a) OPNAVINST 5300.8C

Encl: (1) CNRC ltr 3900 Ser 01/0U022222 of 30 May 07
(2) OPNAV 5214/10 (Report Analysis Data)
(3) Final Draft Navy Recruit Survey
(4) NETC ltr 3900 Ser 52G/5555 of 10 Jun 07

1. Per reference (a), request approval to conduct a personnel survey of Navy recruits.

a. Purpose. The Commander, Navy Recruiting Command (CNRC) needs a means of determining the effectiveness of CNRC's marketing program, enclosure (1). Director, MPTE Policy Division (CNO(N13)) will modify policy to maximize attainment of Navy accession goals. CNRC will modify Navy's advertising and marketing strategy based upon recruit reports of what was most influential in affecting enlistment decisions.

b. Justification. There are no existing databases or recent surveys that can provide required information. Routinely administered surveys are the most cost-effective means for guiding accession policy. Enclosure (2) estimates the manpower cost to complete this survey at \$31,000 per year. Enclosure (1) is CNRC's sponsor endorsement of the requested survey.

c. Participation. The survey, enclosure (3), will be administered to all incoming recruits in group sessions at Recruit Training Command, Great Lakes during the first week of basic training. Data will be summarized by month and broken

Enclosure (3)

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down by region of accession, race, and gender, to examine the demographic mix of incumbents. For validation purposes, the survey will also be administered to Sailors attending various "A" schools in the Fleet.

d. Technical Development. Navy Personnel Research, Studies, and Technology (NPRST/PERS-14) is serving as the executing activity. The principal investigator for the survey is Dr. Walter Peterson, a personnel research psychologist at NPRST. Dr. Peterson has a Ph.D. in the behavioral sciences and 15 years experience in the field of personnel policy analysis and survey development. Survey items were developed, when possible, using established items from the research literature and from previous Navy studies. The survey has undergone field testing on 220 enlistees from three intact recruit companies over a three month period, and items were revised after each survey administration. The average time to complete the survey is about 20 minutes. The survey has also been reviewed and exempted by the NPRST Protection of Human Subjects Committee (IRB). A final copy of the survey is attached.

e. Analyses

(1) NPRST will analyze data using the Statistical Package for the Social Sciences (SPSS) and data will be maintained and archived in SPSS systems files at NPRST. Overall accession policy effects will be tested using interrupted time series analyses based upon timing for the implementation of new enlistment programs/policies. Subgroup comparisons on accession inducements will be conducted using univariate frequency and cross tabulations as well as multivariate analysis of variance and multivariate discriminant analyses. Marketing effects will be examined using time series analysis comparing advertising initiatives to subsequent enlistments.

(2) Scoring will consist primarily of averaging items that measure each factor. Responses will employ 5 point Likert type scales with some dichotomous items. Demographics contain nominal data and are not scored. Because this survey breaks new ground, content will require regular validation and revision.

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f. Sponsor Point of Contact. Sponsor POC for this survey is Name, Code, Phone, facsimile, email _____. (). He/She can be reached at commercial telephone, DSN: _____, Fax, or e-mail:

g. Communications Plan

(1) As the performing activity, NPRST will provide feedback to the sponsor concerning major findings from the study. This will be accomplished by a technical report to be completed within one year from the final day of data collection. In addition, NPRST will provide in-person briefings to CNRC (CNRC's advertising agency and NAVMAC covering major study findings within two months of final data collection completion).

(2) NPRST will make major results available to study participants via posting on the web and, with sponsor approval, will transmit the results to the Navy Survey Approval Manager.

Signed

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