



Advance Copy
DEPARTMENT OF THE NAVY
OFFICE OF THE CHIEF OF NAVAL OPERATIONS
WASHINGTON, DC 20350-2000

IN REPLY REFER TO
OPNAVINST 5300.8B
Pers-OOH

APR 23 1997

OPNAV INSTRUCTION 5300.8B

From: Chief of Naval Operations
To: All Ships and Stations (less Marine Corps field addressees not having Navy personnel attached)

Subj: COORDINATION AND CONTROL OF PERSONNEL SURVEYS

Ref: (a) DoD Directive 8910.1 of 11 Jun 93, Management and Control of Information Requirements (NOTAL)
(b) DoD Instruction 1100.13 of 21 Nov 96, Surveys of DOD Personnel (NOTAL)
(c) SECNAVINST 5214.2B, Department of the Navy (DoN) Information Requirements (Reports) Management Program (NOTAL)
(d) SECNAVINST 3900.39B, Protection of Human Subjects
(e) SECNAVINST 5720.42E Department of the Navy (DoN) Freedom of Information Act (FOIA) Program
(f) SECNAVINST 5211.5D, Department of the Navy Privacy Act (PA) Program

Encl: (1) Procedures for Requesting Personnel Survey Approval
(2) Sample Survey Endorsement Letter; Sample Cover Letter for a Survey Approval Request; Sample Letter Authorizing Access to Survey Respondents
(3) OPNAV 5214/10 (Rev. 9-81), Report Analysis Data

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

2. Cancellation. OPNAVINST 5300.8A.

3. Objective. To ensure that 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 are approved through Washington Headquarters Services (reference (a)). Federal government surveys of retirees' dependents, government contractors, and members of the general public require Office of Management and Budget (OMB) approval. Likewise, surveys of retirees, and spouses and dependents of active duty personnel that do not relate to existing federal programs for military families or the need for new military family programs also require OMB approval.



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5. Background. Navy personnel surveys are a valuable means of collecting information from Navy military and civilian personnel about various aspects of naval service and civilian employment. They provide data which enable Navy managers to make informed decisions. Coordination and control of surveys is required in order to maintain quality control, 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 members' welfare and the allocation of Navy resources. Poorly designed surveys may produce meaningless results, which can impact policy decisions inappropriately. They can also influence members' willingness to cooperate in future surveys, thereby depriving headquarters 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 manpower expenditure 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. Finally, regulation emphasizes long-range programmatic efforts over repetitive, one-time surveys.

6. Definitions

a. A "survey" or "personnel survey" is a systematic data collection, using personal or telephonic interviews, or self-administered questionnaires, from a sample of 10 or more persons as individuals or representatives of agencies. The questionnaires or interview protocols contain identical questions that elicit attitudes, opinions, behavior, and related demographic, social and economic data to be used for statistical compilations for research and/or policy assessment purposes. Surveys may be conducted via mail, group or individual interviews, telephone inquiries, or computer (e.g., e-mail, bulletin boards, interactive programs, voice-mail).

(1) "Attitude," "opinion," "belief," and "fact-finding" surveys are personnel surveys that 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, diversity issues, health issues, program needs assessment, and program evaluation. Also included in this category for purposes of this instruction are vocational interest inventories.

(2) "Occupational task" surveys are personnel surveys that inquire about discrete, technical, job-related tasks 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 that collect information from individuals on a continuing basis at specified intervals or

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milestones such as annually, upon promotion, change of station, after completion of training, etc. The survey instrument must remain unchanged throughout the Report Control Symbol (RCS) expiration date to retain its definition as "recurring," otherwise it would be viewed as a separate survey effort.

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

b. A "pretest" or "pilot test" is a test of survey procedures with a draft of items of the data collection instrument to determine their 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. Several pretests may be required.

c. A Report Control Symbol (RCS) is the number assigned to a survey after it has been reviewed and approved for administration. RCS numbers have associated expiration dates and are never authorized for longer than three years. Revalidation of an RCS is outlined in paragraph (D) of Part II, enclosure (1), reference (c).

d. A "survey sponsor" is any Navy agency that may benefit from or has a direct interest in the survey results. Sponsors may not necessarily fund survey projects but they are always responsible for survey content. Funding includes, when applicable, the cost of survey design, development, execution (including postage and telephone costs), analysis and reporting.

e. A "performing activity" is the organization that designs, develops, analyzes, and reports on an approved Navy personnel survey. Navy research organizations, selected headquarters offices, and Navy evaluation 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 laboratory, will be tasked with the lead responsibility to coordinate the survey.

f. An "executing activity" is the organization or contractor tasked by a Navy sponsor to coordinate the assembly, printing, mailing, data collection, and data base construction for an approved Navy personnel survey when development and/or analyses are to be performed by another activity. The performing activity may also serve as the executing activity.

g. A "survey recipient" is a command or organization whose members are the participants.

7. Exclusions

a. Excluded from all provisions of this instruction are Navy Occupational Task Analysis Program (NOTAP; NAVMAC) surveys, Navy Training Importance Surveys (TIS; NAVMAC), and surveys conducted by commands in Echelon 4 or lower when executed entirely within the command (e.g., command managed equal opportunity (CMEO) surveys). However, references (a) and (b) require all Navy

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commands to assess the cost/benefit of their surveys. Also excluded from all provisions of this instruction are focus groups and interviews for the purpose of development and pretest of survey questionnaires or for clarification of survey results.

b. Career development surveys and program evaluation surveys are no longer exempted from survey approval.

8. Responsibilities

a. The Chief of Naval Personnel (CHNAVPERS) (Pers-00H) will:

(1) Serve as resource sponsor for the Navy Survey Resource Center (NSRC) (described in subparagraph 8c).

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

(a) Wherever possible, analyze existing data bases rather than conduct new personnel surveys.

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

(c) Include 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.

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

(e) Review the requirement to conduct recurring personnel surveys every 3 years.

(3) Coordinate and process all requests for Navy members to assist in survey projects sponsored by another government department or agency.

(4) Approve or disapprove requests to conduct personnel surveys within the Navy under reference (a); obtain Office of the Chief of Naval Operations (OPNAV) RCSs for approved surveys; and execute the responsibilities of surveys control manager under references (a) and (c).

b. Survey recipients will ensure that only authorized surveys are completed while on-duty. Upon discovery of an unauthorized survey, addressees will notify CHNAVPERS (Pers-00H). A decision of appropriate action will be made on a case-by-case basis.

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

(2) Replies to personnel surveys that involve disclosure of classified information are prohibited under any circumstances. Replies to

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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.

c. The Navy Personnel Research and Development Center (NAVPERSRANDCEN) in San Diego, California will establish and maintain the Navy Survey Resource Center (NSRC). The NSRC integrates survey expertise and a survey information management system to serve the following functions:

(1) Maintain a personnel survey data base and reference archive for approved personnel surveys. The data base will include: (a) an item pool (item wording and scale composition), and (b) survey administration information, including copies of the approved questionnaire/interview protocol, and copies of final reports based on personnel survey data.

(2) Help survey sponsors identify existing data bases and archives that might make conducting a Navy personnel survey unnecessary.

(3) Identify for performing activities items from the NSRC item pool.

(4) Provide Navy representation on the Inter-Service Survey Coordinating Committee. This committee monitors attitude and opinion surveys directed by the DoD.

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

(6) Provide technical review and make recommendations to Pers-00H for approval of survey.

(7) Request hard copies of all approved surveys and final reports. Maintain a document library.

(8) Maintain software to keep track of surveys and their approval status.

d. Survey sponsors will:

(1) Validate the requirement for a survey by considering alternative sources of information including the use of existing data bases 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 surveys, those intended solely for use by students to complete an educational requirement (e.g., Master's Degree thesis for graduate program) will not typically be approved without sponsorship by a Navy organization.

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

(4) Provide endorsement to CHNAVPERS to conduct the survey, as outlined in enclosure (1).

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

- (1) Contact NSRC per subparagraph 9a prior to survey development.
- (2) Obtain the required data bases when possible.
- (3) Obtain existing questions for use in the survey, when possible.
- (4) Pretest survey on members of the representative population.
- (5) Develop cost-effective analysis, sampling, and administration plans.
- (6) Submit to CHNAVPERS (Pers-00H) a request for survey approval per enclosure (2), completed OPNAV 5214/10 (a sample is provided in enclosure (3)), 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.
- (7) Provide the final report of the survey results to NSRC at NAVPERSRANDCEN.
- (8) 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.

f. Requests for participation of Navy personnel or assistance in survey projects from nongovernmental 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 paragraph 9. 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.
- (3) The propriety of extending recognition, special assistance, or privileges benefiting an individual or commercial interest.
- (4) Compatibility with the provisions of paragraph 9.
- (5) Confirmation that administering the survey will not interfere with the missions of the Navy activities involved.

9. Actions for Obtaining Survey Approval. Only sponsored surveys will be approved.

a. Upon consideration of data requirements and prior to survey development, survey sponsors/performing or executing activities will contact NAVPERSRANDCEN NSRC to:

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

(2) Request previously used survey items from the data bank.

b. Upon completion of survey design and development, performing or executing activities will submit two copies of material described in enclosure (1) to the CHNAVPERS Surveys Control Manager (Pers-00H), via the survey sponsor.

c. CHNAVPERS 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, CHNAVPERS may submit requests for survey approval to NSRC for technical review.

d. NAVPERSRANDCEN NSRC will, when requested by CHNAVPERS, conduct a technical review of surveys submitted for OPNAV approval. NAVPERSRANDCEN will:

(1) Review and coordinate information with the survey sponsor on past, present, and planned survey efforts which relate to, duplicate, or can be combined with the proposed survey.

(2) Determine that a survey is required, and if so, recommend to the sponsor any changes to the proposed survey content, design, and/or execution plan before responding to CHNAVPERS.

(3) Forward to CHNAVPERS (Pers-00H) the proposed survey, comments on the likelihood that sponsor information requirements can be met by the survey, and recommendations on ways survey content and techniques can be improved to meet professional and Navy standards.

e. Upon approval of the survey, Pers-00H will obtain from the SECNAV/OPNAV Reports Control Office an OPNAV RCS as provided for in reference (c), and described in enclosure (1) and provide this symbol to the survey sponsor. Pers-00H will forward to NSRC a copy of the approved package to create an archive for each approved survey.

10. Individual Rights and Safeguards

a. Voluntary Participation. Navy personnel surveys are never mandatory. Refusal to participate in a personnel survey shall not result in adverse impact on any member. All approved surveys will include a statement regarding the rights of individual respondents to refuse participation. See enclosure (1).

b. Anonymity Guaranteed. Whenever personal descriptive information is requested in a survey (e.g., rank, social security number, billet), respondents 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 or be damaging to the subjects' financial standing, employability, or reputation, or could cause psychological harm, the request will be referred for review and approval under authority of reference (d).

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 an individual member's responses to an approved Navy survey, exemption (b)(6) described in paragraph 6 of enclosure (2) to reference (e) (5 U.S.C. 522(b)(6)) should be considered as it may constitute a clearly unwarranted invasion of personal privacy.

d. Privacy Act Statement. Survey sponsors and performing activities have joint responsibility to comply with reference (f) in protecting the right to privacy of individual Navy personnel. A Privacy Act Statement (see enclosure (1)) will be displayed prominently on all Navy personnel surveys without exception. The statement will identify the authority for survey administration (including OPNAV RCS), 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.

e. Reporting

(1) Individuals: 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 (usually 10 or more) to protect the anonymity of individual survey respondents.

(2) Groups: When all members of an identifiable group provide highly similar responses to a variable or set of variables, reporting can compromise individual anonymity. Protect group anonymity either by not reporting group results on the affected variable(s) or by combining groups.

11. Form. OPNAV 5214/10, (Rev. 9-81), Report Analysis Data, S/N 0107-LF-052-1451, is available in the Naval Inventory Control Point using requisitioning procedures contained in CD-ROM NAVSUP PUB 600(NLL), Navy Stock List of Publications and Forms.



LEE F. GUNN
Rear Admiral, U.S. Navy
Chief of Naval Personnel
Acting

Distribution: (See next page.)

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PROCEDURES FOR REQUESTING PERSONNEL SURVEY APPROVAL

1. Letter Requesting Survey Approval. Performing activities submit requests for survey approval to the CHNAVPERS (Pers-00H), via the survey sponsor and NAVPERSANDCEN (NSRC). Requests should outline the survey execution plan by addressing briefly (maximum three 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 questionnaire/interview that were considered.

c. Participation: Identify the sampling method (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) Provide the initial date of contact with NSRC NAVPERSANDCEN and Survey Administration Management System (SAMS) number assigned.

(2) 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). Test no fewer than 10 members who are typical of target respondents. Describe the size and composition of the sample on which the survey was field-tested. 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.

e. Sponsor Point of Contact: If required, identify by command, code, name, commercial and DSN telephone numbers, FAX number, and e-mail address the sponsor point of contact.

f. Performing Activity Point of Contact: Identify by command, code, name, commercial and DSN telephone numbers, FAX number, and e-mail address the performing activity point of contact responsible for the survey.

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 routine 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

Enclosure (1)

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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. In cases involving interviews or computer-based surveys, provide the Privacy Act Statement orally or in writing prior to asking for any information. A suggested Privacy Act Statement follows:

PRIVACY ACT STATEMENT

Authority to request this information is granted under 10 U.S.C. 5031 and 5032, and 5 U.S.C. 301 (If SSN is requested add: Executive Order 9397). License to administer this survey is granted per OPNAVINST 5300.8B 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 questionnaire 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 questionnaire 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 (Navy Survey Resource Center at NAVPERSRANDCEN) where they may be used for determining changing trends in the Navy.

ANONYMITY: 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. OPNAV 5214/10, Report Analysis Data

a. OPNAV 5214/10 estimates the cost to have members complete the survey. OPNAV 5214/10 is required by reference (c) and is provided in enclosure (3).

b. Estimate hourly rates for military personnel using data published annually in a Defense Finance and Accounting Service (DFAS) Cleveland Center memorandum for distribution, available from the financial management office of manpower claimants (e.g., BUPERS, BUMED, CNET, CINCLANTFLT, CINCPACFLT). An acceptable alternative estimate of hourly rates can be derived from monthly military pay tables such as those published 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.

c. Estimate the time to complete a survey using the average field test time. Time estimates should be indicative of the amount of lost time from work or other activities (including off-duty time) due to questionnaire completion. If surveys are to be completed in group settings, include the

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time to assemble members, provide instruction, hand out, and retrieve survey materials.

4. Letter(s) of Endorsement/Transmittal

a. In addition to survey sponsor endorsement, forward letters of transmittal approving access to command personnel. Approval to administer surveys to subjects attached to commands listed in Standard Navy Distribution List (SNDL), Part 1, should come from Fleet Commanders in Chief. Approval to administer all other surveys should come from the highest echelon commander(s) exercising administrative authority over units to be surveyed, unless this is the sponsor.

b. To ensure that cognizant commanders have been made aware of the potential impact of survey endorsement on their OPTEMPO, each endorsement letter must:

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

(2) Include the following language using man-hours 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)."

5. Computer-readable Survey Content Summary. On 3 ¼ or 5 ¼ inch floppy disk (any density), list all questionnaire/interview items clustered by scale and/or topic area. When using previously published scales, identify the source of the items. Pers-00H will forward this information to the NSRC Archives where it may be used in subsequent surveys to enable comparisons of item responses over time.

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SAMPLE SURVEY ENDORSEMENT LETTER

DEPARTMENT OF THE NAVY
Bureau of Naval Personnel
Washington, D.C. 20370

5214
Ser 23E/xx
Date

From: Assistant Chief of Naval Personnel for Policy and Career Development
(Pers-2)

To: Chief of Naval Personnel (Pers-00H)

Subj: FIRST ENDORSEMENT ON NAVPERSRANDCEN LTR 3900 SER 12/xx OF DATE

1. Pers-2 and Commander Navy Recruiting Command require information on the effectiveness of Navy recruiting initiatives. The survey proposed by Navy Personnel Research and Development Center is an effective means for gathering this information. I strongly urge approval of the proposed survey of new recruits.

2. I understand that this survey will require 40,000 man-hours per year, at an approximate cost to the Navy of \$314 thousand; however, I consider this to be a necessary and cost-effective investment in the Navy's future.

Signed

Copy to:
CHNAVPERS
CNET
COMNAVCRUITCOM
NAVPERSRANDCEN

SAMPLE

Enclosure (2)

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SAMPLE COVER LETTER FOR A SURVEY APPROVAL REQUEST

DEPARTMENT OF THE NAVY
Navy Personnel Research and Development Center
San Diego, CA 92152

5214
Ser 12/xx
Date

From: Commanding Officer, Navy Personnel Research and Development Center
To: Chief of Naval Personnel (Pers-00H)
Via: Assistant Chief of Naval Personnel for Policy and Career Development
(Pers-2)

Subj: REQUEST FOR APPROVAL OF NAVY PERSONNEL SURVEY

Ref: (a) OPNAVINST 5300.8B

Encl: (1) CNRC ltr 3900 Ser 01/OU022222 of 30 May 90
(2) OPNAV 5214/10 Report Analysis Data
(3) Final Draft Naval Enlistee Survey
(4) CNET ltr 3900 Ser 52G/5555 of 10 Jun 90
(5) Computer-readable Survey Item and Content Summary

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

a. Purpose. The Assistant Chief of Naval Personnel For Policy and Career Development (Pers-2) needs a means for determining the effectiveness of accession policies and Commander, Navy Recruiting Command (COMNAVCRUITCOM) marketing program, enclosure (1). Pers-23 will modify policy to maximize attainment of Navy accession goals. COMNAVCRUITCOM 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 data bases that can provide required information. Questionnaires, routinely administered, are the most cost-effective means for guiding accession policy. Interviews are too manpower intensive and provide too few respondents on which to base policy and marketing resource allocation decisions. Enclosure (2) estimates the cost to complete this survey at \$314 thousand per year. That is less than 1 percent of the annual cost of Navy accession advertising and incentive programs. Enclosure (1) is COMNAVCRUITCOM'S endorsement of the requested survey.

c. Participation. The survey, enclosure (3), will be administered to all incoming recruits in group sessions at the Great Lakes Recruit Training Center during their first week of basic training (approximately 80,000/year). Chief of Naval Education and Training has authorized access to the recruits for survey purposes at enclosure (4). Data will be summarized by month and broken down by region of accession, race, sex, education, and mental group to examine the demographic mix of incumbents. Specialized incentives and advertising will focus on subgroups where appropriate.

d. Technical Development. Navy Personnel Research and Development Center (NAVPERSRANDCEN) is serving as performing activity. The executing activity

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for survey administration and data base development will be Navy Manpower Analysis Center (NAVMAC). The principal investigator for the survey is J. J. Jones, head of NAVPERSRANDCEN Personnel Systems. Dr. Jones has a Ph.D. in the behavioral sciences and 15 years experience in the field of personnel policy analysis and questionnaire development. Survey items were developed, when possible, using established items contained in the item bank of the Navy Personnel Survey System at NAVPERSRANDCEN. The survey has undergone field testing on 220 enlistees from three intact recruit companies over a 3-month period, and items were revised after each survey administration. Because items would not potentially place the individual at risk, human subjects protection review was not performed. Enclosure (5) is a disk containing the content of the final survey in Word Perfect 5.1 format for NSRC archiving.

e. Analyses

(1) NAVPERSRANDCEN will analyze data using the Statistical Package for the Social Sciences (SPSS) and data will be maintained and archived in SPSS systems files at NAVPERSRANDCEN. 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 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.

f. Sponsor Point of Contact. Chief of Naval Personnel POC for this survey is CDR S. S. Smith (Pers-23E). He can be reached at (703) 614-4444/DSN 224-4444.

2. POC for this request is Dr. J. J. Jones (NAVPERSRANDCEN-12), DSN 555-2222.

Signed

Copy to:
CNET
COMNAVCUITCOM

OPNAVINST 5300.8B

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SAMPLE LETTER AUTHORIZING ACCESS TO SURVEY RESPONDENTS

DEPARTMENT OF THE NAVY
Chief of Naval Education and Training
Pensacola, FL 32508

5223
Ser N651/xxx
Date

From: Chief of Naval Education and Training
To: Commanding Officer, Navy Personnel Research and Development Center
Subj: APPROVAL TO SURVEY NAVY PERSONNEL WITHIN CNET COMMANDS
Ref: (a) Your ltr 3900 Ser 12/555 of 14 May 1990
Encl: (1) OPNAV 5214/10, Report Analysis Data

1. Your request in reference (a) to conduct a recurring survey of approximately 80,000 Navy recruits each year is approved. I hope that the information derived from these surveys will benefit both Navy's recruiting efforts and the effectiveness of our basic training program.
2. I have reviewed enclosure (1) and consider this to be a worthwhile investment of Navy man-hours.

Signed

Copy to:
CHNAVPERS (Pers-23E)
COMNAVCRUITCOM

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RCS OPNAV 5214-1

REPORT ANALYSIS DATA		1. SSIC NUMBER	2. REPORT CONTROL SYMBOL	
3. TITLE OF REPORT				
4. PURPOSE OF REPORT				
5. REQUIRING DIRECTIVE(S) <i>(List all that apply)</i>		6. FREQUENCY OF REPORT <input type="checkbox"/> DAILY <input type="checkbox"/> QUARTERLY <input type="checkbox"/> ONE TIME <input type="checkbox"/> WEEKLY <input type="checkbox"/> SEMI-ANNUALLY <input type="checkbox"/> SITUATIONAL <input type="checkbox"/> MONTHLY <input type="checkbox"/> ANNUALLY <input type="checkbox"/> _____		
7. REPORT FORMAT <input type="checkbox"/> MESSAGE <input type="checkbox"/> LETTER <input type="checkbox"/> FORM <i>(Attach copy)</i>		8. IS REPORT SUBJECT TO MINIMIZE? <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NOT APPLICABLE		
9. METHOD OF PREPARATION <input type="checkbox"/> ADPE <input type="checkbox"/> TYPEWRITER <input type="checkbox"/> MANUAL <input type="checkbox"/> _____		10. IS REPORT ENTERED INTO AN ADP SYSTEM? <input type="checkbox"/> NO <input type="checkbox"/> YES <i>(List name and location of system)</i>		
11. WHO USES COMPLETED REPORT? <i>(List by command, OP code, etc.)</i>				
12. THIS REPORT IS COMPLETED BY <input type="checkbox"/> OPERATING FORCES <i>(SNDL Part 1)</i> <input type="checkbox"/> SHORE ESTABLISHMENT <i>(SNDL Part 2)</i> IF COMPLETED BY OPERATING FORCES. ARE FLEET CINCS COMMENTS ATTACHED? <input type="checkbox"/> YES <input type="checkbox"/> NO				
13. RESPONDENTS	A. LIST RESPONDING COMMANDS BY A COLLECTIVE TERM OR BY NAME <i>(FOR EXAMPLE: FLTCINCS, TYCOMS, NAVAL LABS, ALL LEGERSOFF, CRUITSTAS, AREA COORDINATORS, ALL OPER AVIATION SQUADRONS, ALL SUBMARINES, ALL SSN, ALL SURFACE SHIPS, MAJOR CLAIMANTS, ALL SHOREACTS W/BEO/BQO, ALL COMDS W/DENTISTS, ALL S&S W/MEDPERS, SYSCOMS, COMDS W/GEN MESS, ALL S&S, ALL COMDS W/CIVILIANS, ALL OVS COMDS, ALL ECHELON 2 COMDS)</i>		OPERATING FORCES <i>(SNDL Part 1)</i>	
			SHORE ESTABLISHMENT <i>(SNDL Part 2)</i>	
	B. TOTAL NUMBER OF RESPONDENTS		(1)	(2)
	C. TOTAL COST TO PREPARE AND SUBMIT THIS REPORT <i>(from reverse)</i>		(1)	(2)
14. ACTION OFFICER	A. NAME, RANK/RATE/GRADE AND TITLE		B. ACTIVITY NAME AND ADDRESS <i>(include room no.)</i>	
	C. SIGNATURE		D. DATE	
		E. PHONE NO.		

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Use this worksheet for estimating the total cost to prepare and submit this report. Compute two costs—one for operating forces and one for shore establishments. The hourly rate may be taken from any current pay chart.

OPERATING FORCES COSTS TO PREPARE AND SUBMIT

PAY GRADE	NO. HOURS SPENT	X HOURLY RATE	= PERSONNEL COSTS	+ 25% OVERHEAD	= TOTAL COSTS BY PAY GRADE
Total Cost to Prepare and Submit One Report: \$ _____					
X _____ Commands Required to Submit =					\$ _____
X _____ Reports per Year					\$ _____
Total Cost to Prepare and Submit					* \$ _____
*Enter this figure in column 13(c)(1)					

SHORE ESTABLISHMENT COSTS TO PREPARE AND SUBMIT

PAY GRADE	NO. HOURS SPENT	X HOURLY RATE	= PERSONNEL COSTS	+ 25% OVERHEAD	= TOTAL COSTS BY PAY GRADE
Total Cost to Prepare and Submit One Report: \$ _____					
X _____ Commands Required to Submit =					\$ _____
X _____ Reports per Year					\$ _____
Total Cost to Prepare and Submit					** \$ _____
**Enter this figure in column 13(c)(2)					

SAMPLE COMPUTATION (SALARIES ARE NOT ACCURATE)

PAY GRADE	NO. HOURS SPENT	X HOURLY RATE	= PERSONNEL COSTS	+ 25% OVERHEAD	= TOTAL COSTS BY PAY GRADE
O-2 (Note 1)	.25	7.45	1.86	0.47	2.33
E-8 (Note 2)	3	7.45	22.35	5.59	27.94
GS-4 (Note 3)	1	4.77	4.77	1.19	5.96
Total Cost to Prepare and Submit One Report: \$36.23					
X 4 Commands Required to Submit =					\$144.97
X 4 Reports per Year					\$79.68
Total Cost to Prepare and Submit					\$579.68

Note 1: Reviews and signs report.
 Note 2: Collects required information; prepares chart; writes report.
 Note 3: Types and mails report.