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Personnel

**AIR UNIVERSITY INSTITUTIONAL EFFECTIVENESS
AND INSTITUTIONAL RESEARCH**

COMPLIANCE WITH THIS INSTRUCTION IS MANDATORY

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OPR: HQ AU/CFAI
(Dr. Shelley Dike)

Certified by: HQ AU/CFA
(Dr. Dorothy Reed)

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This instruction establishes policies and procedures designed to integrate Air University (AU) institutional effectiveness (IE) and institutional research (IR) processes. It complements information contained in AUI 36-2312, *Air University Evaluation Programs*; AUI 36-105, *Faculty Development, Enrichment, and Responsibilities*; AUI 36-2306, *Air University Curriculum and Program Review*; AUI 36-2320, *Curriculum Integration Groups*; AUI 36-2307, *Air University Board of Visitors Actions*; and programming and budgeting guidance as described in this instruction. This instruction applies to all AU education and education support programs.

1. Definition of Key Terms:

1.1. Institutional Effectiveness (IE). A comprehensive, broad-based, interrelated system of planning and evaluation in all major aspects of AU that demonstrates whether and to what degree the institution and its subordinate institutions are fulfilling their institutional purpose as defined by the mission, priorities, goals, and objectives.

1.2. Institutional Research (IR). The planning, coordination, collection, organization, compilation, and dissemination of information concerning the characteristics and performance of the institution.

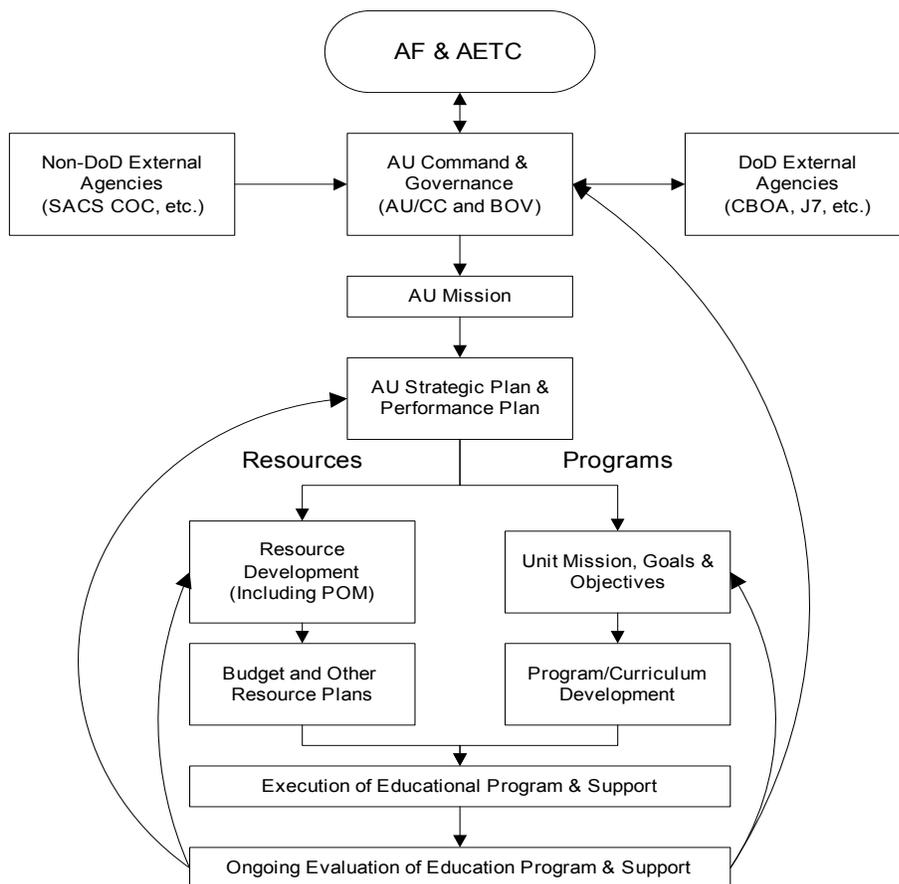
2. Purpose. IE efforts provide a multifaceted means to systematically consolidate, analyze, and communicate information about AU programs, faculty, students, and support activities. Based on this information, AU decision makers are able to improve operations, reduce uncertainties, and increase program effectiveness in support of the mission and goals.

3. Scope. IE is part of an integrated system that includes Air Force-prescribed and AU academic-based planning and evaluation processes. The primary Air Force-prescribed processes

include performance planning, mission area planning, programming, and budgeting processes. All Air Force-prescribed processes are managed by the Plans and Programming Office (HQ AU/XP), with the exception of budgeting, managed by the Financial Management Directorate (HQ AU/FM). The academic-based processes are managed by the Academic Office (HQ AU/CF). The primary academic-based functions supporting AU's IE effort include program assessments, school evaluation plans, and program review processes. AU's IE system is graphically depicted in Figure 1.

3.1. AU's IE processes are driven by its mission, priorities, goals, and objectives. The integration of the Air Force-prescribed and academic-based processes culminates in an overall AU IE system. Using the AU mission and planning documents, AU educational and educational support units then develop their own mission statements and planning documents. Educational and educational support unit mission statements and planning documents serve as the foundation for developing day-to-day operations and processes towards unit-level and AU goals and as the basis for program and IE assessments. All AU units, educational and educational support units, are required to complete program assessments as outlined in this instruction and to document the use of assessment results in program development. Program assessments are also used by AU and its units for input into the Air Force-prescribed planning documents and interface with the budgeting processes.

Figure 1, Air University Institutional Effectiveness System



4. Key Air University and U.S. Air Force Activities Related to Institutional Effectiveness.

4.1. Planning Processes. The AU planning function involves providing input into the AETC planning process; developing AU's strategic plan and ensuring appropriate linkage to AETC's strategic plan; maintaining AU's performance management program with linkage to AETC's Performance Plan; providing input into the AETC Mission Area Plan; and tracking the status of and progress toward goals and objectives within each of the AU plans.

4.2. Evaluation. Evaluation is an integral process within AU's educational programs, both resident and non-resident, that takes into consideration internal and external factors. Evaluation is synonymous with assessment and includes analysis of data from student performance and analysis of data from the delivery of education programs and educational support programs. This involves planning and evaluation that is systematic, broad-based, interrelated, and appropriate for AU relative to the activities of teaching, research, and public service. AU's evaluation policy is described in AUI 36-2312, *Air University Evaluation Programs*.

4.3. Institutional Research (IR). Institutional research incorporates responsibility for collecting, consolidating, and analyzing data relevant to the institution and disseminating the results to appropriate decision makers. Specific activities of the institutional research function involve ongoing timely data collection, analysis, and dissemination of the data; use of external studies and reports; design and implementation of internal studies related to students, personnel, facilities, equipment, programs, services and fiscal resources; development of databases suitable for longitudinal studies and statistical analyses; and related activities in support of planning, evaluation, and management.

4.4. Curriculum Integration. Curriculum integration involves the responsibility for managing and conducting AU program review boards (PRB) and recommending actions concerning education program curriculum plans. This function provides an AU-level focal point for all matters pertaining to Instructional System Development (ISD) and management of the curriculum integration groups (CIG). Although the program review board forum is primarily a means of curriculum assessment, it is also a mechanism to support AU's institutional effectiveness assessment requirements. Policies relative to curriculum integration that support the IE program include AUI 36-2306, *Air University Curriculum and Program Review*, and AUI 36-2320, *Curriculum Integration Groups*.

4.5. Boards. The institution's governing board is the AU Board of Visitors (BOV); the advisory board, the AU Command Board of Advisors (CBOA), consists of general officer representatives from all Air Force major commands. The BOV and CBOA activities culminate in formal reports of Air University's educational programs and provide a major source of IE assessment. Specific policies relative to these functions include AUI 36-2307, *Air University Board of Visitors Actions*, and charter and bylaws for the BOV and CBOA.

4.6. Programming. Programming provides the link between the plan and the budget. The result of this linkage is that resources can be allocated in a systematic way with direct relationship to the roles and missions of the Department of Defense. In addition, programming allows DoD to balance fiscal and other constraints in the development of the President's

budget. Programming translates planning decisions into detailed time-phased allocations of resource requirements including forces, personnel, and funds. In short, programming identifies resources needed to execute plans.

4.6.1. Program Objective Memorandum (POM). The key objective of programming is development of a balanced and defensible Air Force program in the POM. The POM presents the Services' proposal to the Secretary of Defense (SECDEF) for a balanced allocation of all available service resources within specified constraints to satisfy the Defense Planning Guidance (DPG). In principle the POM integrates operational requirements with projected fiscal, manpower, and material resources. This is the process for correcting known deficiencies (disconnects) and starting new endeavors (initiatives) based on approved and validated requirements.

4.7. Budgeting. Formulation, execution, and control of near-term resource requirements, allocation, and use is based on the results of the planning and programming efforts. Budgeting begins with the Investment Budget Review (IBR) and the Operational Budget Review (OBR) and continues with the Budget Estimate Submission (BES) and the President's Budget (PB).

5. Responsibilities.

5.1. Integration of IE Processes. The successful approach to IE requires the integration of Air Force-prescribed and AU academic-based planning and evaluation processes. Responsibility for the integration of the two processes is shared by AU's Academic Office (HQ AU/CF) and AU's Plans and Programming Office (HQ AU/XP). HQ AU/XP also has primary responsibility for the AU strategic planning document. Budgeting is the responsibility of the Financial Management Directorate (HQ AU/FM).

5.2. Programming Policy Responsibilities.

5.2.1. The Program Objective Memorandum (POM) is a programming exercise occurring in even-numbered years and amended in odd years. The POM addresses an organization's monetary needs not already included in its baseline. The POM includes the rationale for planned changes from the approved budget baseline and impact(s) on the organization, AU, and the Air Force if not approved and funded. At Air Education and Training Command (AETC), AU's POM inputs compete against inputs from other AETC organizations for priority. Inputs flow through the AETC corporate structure resulting in a complete AETC POM submission. The consolidated AETC POM input is then submitted to HQ USAF. At HQ USAF, AETC POM inputs compete against POM inputs from other major commands (MAJCOMs) for priority. The newly combined POM inputs flow up through the Air Force corporate structure and result in the official Air Force POM submission. The POM proposes total program requirements beginning two years out and continuing for the next six years and includes rationale for planned changes from the approved Five-Year Defense Plan baseline within Office of the Secretary of Defense Guidance.

5.2.2. DoD, Air Force, and AETC programming policy instructions include DoDI 7045.7, *Implementation of the Planning, Programming, and Budgeting System (PPBS)*, 23 May 84; AFPD 16-5, 29 Jul 94, *Planning, Programming & Budgeting System*; AFI 33-103,

Requirement Development and Processing, 18 Mar 99, AETCI 16-501, *HQ AETC Corporate Structure*, 7 Sep 01. Other policy sources are the *Defense Planning Guidance, Annual Planning & Programming Guidance*, and the *Planning, Programming & Budgeting System (PPBS) & Air Force Corporate Structure (AFCS) Primer (AF/XPPE)*, Jan 00.

5.3. Budgeting Policy Responsibilities. Budgeting guidance is found in the 65-series (Financial Management) of Air Force instructions (AFI); however, these instructions do not address guidance on every specific topic you may have. Interpretation of Air Force and DoD policy, as well as public law, is necessary in many cases. Address questions to HQ AU/FM.

5.4. HQ AU/XP. Responsible for the AU-level mission statement and planning processes.

5.4.1. Facilitates the development, coordination, publication, dissemination, and maintenance of the following documents:

5.4.1.1. Mission Statement. A clearly defined mission statement, appropriate to collegiate education as well as to the unique purpose of AU.

5.4.1.2. Performance Plan. Based on AETC Performance Management Program as required by AFI 90-1102, *Performance Management*. Deliverables include the AU Performance Plan and quarterly AU Mission Performance Report (MPR).

5.4.1.3. Strategic Plan. A strategic plan with goals, objectives, and measures to reflect accomplishment of each goal.

5.4.1.3.1 Program Assessments. AU/XP monitors AU Strategic Plan goals and objectives through program assessments. Each unit is required to submit an annual program assessment that includes, at a minimum, the following information: (See attached sample format.)

5.4.1.3.1.1. Current AU Strategic Plan goal and/or objective

5.4.1.3.1.2. Unit-level mission statement

5.4.1.3.1.3. Unit-level goal and/or objective

5.4.1.3.1.4. Measure used to assess progress

5.4.1.3.1.5. Results obtained

5.4.1.3.1.6. Use of results

5.4.4 Planning Oversight. Monitors AU planning activities relative to goal and objective status through a single reporting process to eliminate reporting redundancy.

5.4.4.1. Reporting Cycles. Units and AU review planning processes and results annually. In some instances, reports may occur more frequently.

5.4.4.2. Planning Process Linkage. Ensures goals and objectives are linked to AU's programming and budgeting processes. (See paragraphs 5.2. and 5.3.)

5.5. HQ AU/CFA.

5.5.1. AU Conduit for IE Information. Provides data and information about the institution to the commander, chief academic officer, AU Command Board of Advisors, AU Board of Visitors (BOV), Air Education and Training Command, and the Air Staff. This information may be reported on a recurring basis or in response to a specific tasking.

5.5.2. IE and IR Oversight. Provides oversight and advice on institutional effectiveness and institutional research policy, procedures, and techniques.

5.5.3. IE and IR Document Repository. Maintains central repository of research studies, benchmark reports, comparison studies, and projects conducted by individuals outside HQ AU/CFA when such studies are applicable to the AU Strategic Plan goals, objectives, or measures.

5.6. Educational Programs and Administrative and Educational Support Programs. Educational programs include all AU schools and colleges. Administrative and education support programs include those activities that support AU schools and colleges.

5.6.1. Points of Contact Appointment. Each educational program and administrative or educational support activity must designate, by letter of appointment, primary and alternate points of contact (POC) to serve as IE and IR POCs. These individuals will work closely with the HQ AU Chief of Evaluation and HQ AU Chief of Institutional Research. POCs serve as liaisons between HQ AU and their respective programs. All requests for information and responses will go through the designated POC to ensure an appropriate individual is cognizant at all times of requests for information from HQ AU and is in agreement with what is released. POCs are responsible for informing all levels of their organization about IE concepts, taskings, and concerns. It is important for IE POCs to be kept apprised of and involved in curriculum development, student and faculty evaluation, strategic planning, and institutional research matters.

5.6.2. Unit Mission Statements and Planning Documents. Each school or college and educational support unit is required to develop, publish, disseminate, and maintain unit-level mission statements and planning documents that reflect objectives and measures clearly linked to the AU planning documents. These planning documents are provided to AU/XP through program assessments submitted annually. (See the program assessment format at Attachment 2.)

5.6.3. Program Assessments. Complete program assessments and forward to AU for review NLT than 60 days following the final course offering for the academic year. Program assessments consist of appropriate unit-level goals and/or objectives linked to the current AU Strategic Plan goals and/or objectives; measures to be used; results obtained; and documented use of the results.

5.6.4. “Closed-Loop” Documentation. In addition to documenting measures, findings, and use of results for goals and objectives, educational programs are required to ensure “closed-loop” documentation of the use of IR data in curriculum review and other IE processes. School and college-level operating instructions must include a requirement for the documentation of the use of IE data in curriculum review and institutional effectiveness processes.

5.6.5. Revisions to Unit Documents. Units update publications, web pages, briefings, policy documents, or other documents to reflect mission statement changes during the revision cycle. Units disseminate mission statement revisions internally and externally as needed.

5.6.6. Collection of Data. All educational programs, as well as administrative and educational support programs, engage in research activities which support information requirements relative to planning and evaluation processes. Methods of evaluation for these purposes include process/product checklists; milestone charts; opinion, attitudinal, or customer satisfaction surveys; student performance results; faculty assessments; and demographic comparisons. This research is dependent upon the programs’ goals and objectives and the measures identified.

5.6.7. IR Reports. All educational programs, as well as administrative and educational support programs, that conduct special studies; benchmark reports; comparison studies; demographic analyses of faculty, staff, or students; or projects related to curriculum, facilities, infrastructure, and technology readiness for the purpose of the program’s self-knowledge will develop an IR archive for such studies.

DONALD A. LAMONTAGNE
Lieutenant General, USAF
Commander

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

Defense Planning Guidance

Annual Planning & Programming Guidance

Planning, Programming & Budgeting System (PPBS) & Air Force Corporate Structure (AFCS) Primer

DoDI 7045.7, Implementation of the Planning, Programming, and Budgeting System (PPBS)

AFPD 16-5, Planning, Programming, and Budgeting System

AFI 33-103, Requirements Development and Processing

AFI 90-1102, Performance Management

AETCI 16-501, HQ AETC Corporate Structure

AUI 36-105, Faculty Development, Enrichment and Responsibilities

AUI 36-2306, Air University Curriculum and Program Review

AUI 36-2307, Air University Board of Visitors Actions

AUI 36-2312, Air University Evaluation Programs

AUI 36-2320, Curriculum Integration Groups

Abbreviations and Acronyms

AETC – Air Education and Training Command

AFI – Air Force Instruction

AFPD – Air Force Policy Directive

AU – Air University

AU/CF – Air University Academic Office

AU/FM – Air University Financial Management Directorate

AU/XP – Air University Plans and Programs Office

BES – Budget Estimate Submission

BOV – Board of Visitors

CBOA – Command Board of Advisors

CIG – Curriculum Integration Group

DoD – Department of Defense

DPG – Defense Planning Group

IBR – Investment Budget Review

IE – Institutional Effectiveness

IR – Institutional Research

ISD – Instructional System Development

MAJCOM – Major Command

OBR – Operational Budget Review

PB – President’s Budget

POC – Point of Contact

POM – Program Objective Memorandum

PRB – Program Review Board

SECDEF – Secretary of Defense

Attachment 2

EXAMPLE PROGRAM ASSESSMENT

Program Assessment*(name of school/college/support function)***Program POC:** *(name, grade, office symbol, phone #) (name of the data inputter)***Program Objective OPR:** *(name, grade, office symbol, phone #)(OPR for this particular objective)***Date Submitted/Updated:** *(current date)***Academic Year:** 2002-2003**Report Level:** (Select one of the two reporting levels: (1) AETC; (2) AU Headquarters)**Report Frequency:** (Select one: quarterly, annually, biennially, etc.)**AETC Goal/MET/MST:** (Select one of the following 3, *where applicable*)(1) AETC Goal 2/Mission Essential Task (MET) 2: ***Produce highly motivated, mission-ready airmen to sustain the Air Force's combat capability.***(2) AETC Goal 3/Mission Support Task (MST) 1: ***Provide the infrastructure that ensures safe, high-quality recruiting, education and training.***(3) AETC Goal 4/Mission Support Task (MST) 2: ***Provide a quality living and working environment.*****AU Priority:** (Select one of the 5 AU Priorities from 2003 AU Strategic Plan)**AU Goal and/or Objective:** (Select one of the Strategic Plan goals from 2003 AU Strategic Plan, *where applicable.*)**Unit Mission Statement** (indicate date revised):**Unit Goal and/or Objective:****Measure Used to Assess Progress:** Select one of the AU Strategic Plan measures *where applicable*. If **not applicable**, describe the **unit** measure to be used to track progress toward meeting the objective.

If reporting to AETC, report the following: *Performance Measure Title*
 (Example: Percentage of SOC and CEPME PME Requirements Met) and
Performance Measure Description (Describe the *Measure/Calculation Formula/Data Sources/Frequency/Standard and Target/Rationale/Key Assumptions*)

Results Obtained: Describe the results of the measures.

If reporting to AETC, include the following: *Improvement OPR, Current Status, Why Standard Was not Met, Primary Resource Shortfall, and Whether within AU control*

Use of Results: Describe *how results are used for program change*.

If reporting to AETC, include the following: *Anticipated Corrective Actions to Achieve Performance Standard; Best Estimate for When Performance Standard will be Achieved, and Additional Comments.*

Funding Solution: Select one: Monetary/Non-monetary*If monetary, insert program summary here (or a link to the program summary)*