DEPARTMENT OF DEFENSE
HEADQUARTERS, UNITED STATES MILITARY ENTRANCE PROCESSING COMMAND
2834 GREEN BAY ROAD, NORTH CHICAGO, ILLINOIS 60064-3091

*USMEPCOM Regulation
No. 5-7

Effective date: February 2, 2021

Management

USMEPCOM Studies, Analyses, and Evaluations

FOR THE COMMANDER:

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Date: 2021.02.02 15:54:07 -06'00'

J. Cunningham
Deputy Commander/Chief of Staff

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Executive Summary. This regulation prescribes 1) policies and guidance; 2) assigns responsibilities for improving and maintaining the quality of studies, analyses, and evaluations; and 3) the efficient and effective use of the resources for these efforts.

Applicability. All elements of USMEPCOM.

Supplementation. Supplementation of this regulation is prohibited without prior approval from Headquarters, United States Military Entrance Processing Command (HQ USMEPCOM), ATTN: J-5/MEPT, 2834 Green Bay Road, North Chicago, IL 60064-3091.

Suggested improvements. Users may send comments and suggestions via DA Form 2028, Recommended Changes to Publications and Blank Forms, or by memorandum to the Commander, USMEPCOM, ATTN: J-5/MEPT, 2834 Green Bay Road, North Chicago, IL 60064-3091.

Internal control process. This regulation is subject to the requirements of Army Regulation (AR) 11-2, Managers' Internal Control Program, and contains control provisions and identified key internal controls that must be evaluated. An internal control checklist is in Appendix D.

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*This regulation supersedes USMEPCOM Regulation 5-7, April 12, 2013.
This regulation contains a number of major revisions and must be reviewed in its entirety to have a clear understanding of all revisions.

Summary of Changes

Major, minor, or, immediate revisions have been made to this USMEPCOM Regulation (UMR), changes are in red text. Information that is obsolete and will be deleted is in red text with ~~strikethrough~~.

Incorporating changes effective Month date, year: February 2, 2021

- Paragraph 4-4a: Add: Personally Identifiable Information (PII) authorization.

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Chapter 1
Introduction

1-1. Purpose
This regulation governs studies, analyses, and evaluations within the United States Military Entrance Processing Command (USMEPCOM), to include corresponding use of research instruments and data. It also governs the release of data outside of USMEPCOM.

1-2. References
Required and related publications and prescribed and referenced forms are listed in Appendix A.

1-3. Explanation of Abbreviations and Terms
The explanations of abbreviations and terms used in this regulation are contained in Appendix E, Glossary.

1-4. Responsibilities

a. Commander, USMEPCOM, sponsors all USMEPCOM studies, analyses, and evaluations.

(1) Ensures studies, analyses, and evaluation support Department of Defense (DoD) and USMEPCOM initiatives.

(2) Establishes policy for conducting and using studies, analyses, and evaluations to support USMEPCOM's strategic vision, goals, and objectives.

(3) Provides necessary guidance to the Scientific Review Committee (SRC) chaired by the J-5/Strategic Planning and Transformation Directorate and includes representatives from USMEPCOM Directorates and Special Staff. This committee prioritizes, coordinates, approves, and monitors studies to ensure compliance with command policy. The SRC convenes only when required to address issues not suitable for less specialized staffing and governance forums.

(4) Provides resources (manpower and funds).

(5) Serves as the Institutional Official (IO) for USMEPCOM and supports and enforces the terms of the USMEPCOM Human Research Protection Program (HRPP), an Institutional Review Board (IRB) of record, and an Institutional Agreement for IRB Review (IAIR) between USMEPCOM and Headquarters, U.S. Army Medical Research and Materiel Command.

(6) Designates a Human Protections Administrator/Exempt Determination Official (HPA/EDO).

b. The HPA/EDO:

(1) Administers the USMEPCOM HRPP on behalf of the USMEPCOM IO.

(2) Reviews studies, analyses, and evaluations, and associated instruments, for applicability of human subject protections.

(3) Advises the USMEPCOM IO on matters pertaining to Human Subjects Research.

(4) Liaisons with the U.S. Army Human Research Protection Office (AHRPO), U.S. Army Medical Research and Materiel Command (USAMRMC) Institutional Review Board, Deputy Assistant Secretary of Defense, Military Personnel Policy (Accession Policy) (DASD, MPP (AP)), and other research oriented institutions to support human protections administration and scientific review of research impacting USMEPCOM.

(5) Chairs Scientific Review Committee when convened for specific purposes.

(6) Develops, monitors, and coordinates training for USMEPCOM personnel as required under the USMEPCOM HRPP.

c. Director, J-5/MEPT:

(1) Is designated as the principal advisor for conducting studies, analyses, and evaluations. Provides plans, analyses, evaluations, and recommendations for executing approved programs and policies; ensures accurate and complete presentation of costs, effectiveness, and capabilities.

(2) Establishes guidelines and procedures to plan, conduct, document, and use USMEPCOM studies, analyses, and evaluations. Provides required scientific and quality assurance oversight of data collection plans instruments, processes, and practices, analyses, and compliance with policies for protecting human subjects and their data.

(3) Provides program management of operations research and systems analysis activities.

(4) Establishes and maintains a research library.

(5) Serves on working groups, committees, and other boards relevant to USMEPCOM studies and analyses inside and outside the Command.

(6) Trains proponents in developing and conducting studies. Supports applying sound analytical expertise, tools, and methods. Advises and assists proponents with studies and analyses.

(7) Supports coordination with the Office of the Secretary of Defense (OSD), the Accessions community, and other outside organizations for subjects involving USMEPCOM study programs and activities.

(8) Proponent for the USMEPCOM Business Intelligence System (UBIS). Provide functional expertise and analysis support for technical development and sustainment of web interfaces and repositories to enable USMEPCOM-wide application of business intelligence and analytics for planning, decision-making, and operations management.

(9) Coordinate and collaborate with Information Technology Directorate for stewardship of data used for studies, analyses, and evaluations. This includes data generated directly from USMEPCOM operations and data obtained from external sources.

(10) Proponent for a Survey Management Control Program (SMCP) to include a review of all survey instruments for quality, policy compliance, protection of PII and human subjects, and assessed impact on USMEPCOM.

(11) Assures compliance with DoD HRPP laws, regulations, and policies.

(12) Principal advisor for the USMEPCOM Survey Program.

(13) Develops and implements policies and procedures for command surveys.

(14) Conducts and monitors surveys of, for, or with external agencies.

(15) Assists HQ USMEPCOM staff, sectors, and Military Entrance Processing Station (MEPS) in preparing, developing, evaluating, and reporting surveys.

(16) Manages, coordinates, and analyzes data from surveys.

(17) Maintains repository of surveys and results and ensure proper usage of data.

(18) Assigns USMEPCOM survey control numbers.

(19) Ensures that surveys are administered legally.

d. Director, J-6/Information Technology Directorate (J-6/MEIT):

(1) Establishes and maintains Management Information Control System in accordance with Army Regulation (AR) 25-1, Army Knowledge Management and Information Technology; Army Regulation 355-15, Management Information Control System and USMEPCOM Pamphlet (UMP) 25-2, Management Information Control System.

(a) Supports management of information collections through documentation, collection, handling, transmission, and disposal procedures when information collection is part of, or involves, an automated data processing product.

(b) Verifies completion of reviews in accordance with requirements under the USMEPCOM HRPP and Department of Defense Instruction (DoDI) 3216.02, Protection of Human Subjects and Adherence to Ethical Standards in DoD-Supported Research, before deploying information collections in USMEPCOM computer systems.

(c) Maintains documentation for provided support of information collections that includes the justification for, and intended use of, information collections and released data.

(2) Provides programming and system analysis in support of survey software.

(3) Monitors and manages survey software licenses. Ensures acquisition, deployment, implementation, and upgrades of survey software.

(4) Coordinate required hardware support and acquire the hardware as approved by the Commander, USMEPCOM.

f. Survey Management Control Officer (SMCO):

(1) Manages the USMEPCOM Survey Management Control Program (SMCP).

(2) Reviews, recommends action, and coordinates the staff action on all survey instruments generated within USMEPCOM.

(3) Reviews and recommends action on all survey instruments affecting USMEPCOM.

(4) Serves as the Point of Contact (POC) for processing information collection packages through OSD.

(5) Reviews information collection packages for public, interagency, and DoD internal surveys.

(6) Assists the survey action officer with documentation and format requirements for information collection packages for public, interagency, and DoD internal surveys.

(7) Issues Survey Control Numbers and after survey instruments are approved by USMEPCOM Commander or delegated approval authority.

g. Staff Judge Advocate (MEJA):

(1) Reviews proposed survey plans and instruments upon request.

(2) Reviews collection packages for the Office of Management and Budget (OMB).

h. Civilian Personnel Division (J-1/MEHR-CP):

(1) Reviews USMEPCOM-wide surveys to determine impact on unionized MEPS with civilians and provide guidance to the survey proponent.

(2) Assists survey proponent in preparing an appropriate union-related notification remark for inclusion in the announcement message.

i. Study Project Leaders:

(1) Comply with the provisions of this regulation in developing study proposals, plans, and reports for approval by Directors, Chief of Staff, and Commander.

(2) Coordinate study funding requirements with the HQ USMEPCOM Resource Management Directorate, J-8/MERM and affected Directorates and Special Staff.

j. USMEPCOM personnel will:

(1) Comply with the provisions of this regulation in the conduct of analyses and the use and dissemination of data.

(2) Notify USMEPCOM J-5/MEPT and HPA/EDO of all research proposals involving USMEPCOM personnel, data, information, or systems and forward them to J-5/MEPT for review.

(3) Complete training consistent with their level of involvement in human subject research activities as prescribed by USMEPCOM HRPP.

(4) Adhere to ethical and professional standards for the treatment of human beings in the course of all studies, analyses, and evaluations whether or not 32 CFR 219 specifically regulates these activities.

(5) Follow survey request actions in Chapter 3 and submit survey requests to J-5/MEPT in a timely manner.

(6) Notify the Civilian Personnel Office for labor union coordination and approval before releasing a survey to bargaining unit employees.

1-5. Overview

The purpose of USMEPCOM studies, analyses, and evaluations is to provide decision-makers with timely, accurate, and reliable information to underpin plans and decisions. This regulation encompasses program management of research that provides organized analytic assessments and evaluations in support of policy development, decision-making, management, and administration. These activities may be characterized by the business application of knowledge, skills, abilities, principles, practices, and tools characteristic of management and program analysis, operations research, and systems analyses.

Studies, analyses, and evaluations will hereafter be collectively referred to as "studies" in this regulation. Studies produce formal structured documents containing or leading to conclusions, findings, or recommendations. Studies within the scope of this regulation should include, but are not limited to, the examples listed in Appendix B. In addition, studies may include models, methodologies, and related software supporting analyses or evaluations.

Chapter 2
Studies, Analyses, and Evaluations

This chapter provides factors and practices that influence the success of USMEPCOM studies, analyses, evaluations and program management. Management personnel should consider these factors, together with others, which might influence the quality and success of planned analytic activities.

2-1. General

USMEPCOM studies are data-driven analytic assessments undertaken to gain insight and/or evaluate complex issues in support of policy development, assessments, Research and Development (R&D) activities, and decision-making. Studies may include development and documentation of models, methodologies, and related software programs required to support complex analyses. The management and success of a study is the responsibility of the study manager, who may be assigned to manage the study effort for the study sponsor and act as the contracting officer's representative (COR). When necessary, a study advisory board may also be established.

2-2. Studies Objectives

a. Research encompasses a wide range of activities such as studies, analyses, evaluations, and supporting or complementary activities. Study leads and principal investigators are responsible for defining the problem, purpose, and scope of a study. Proper definition also reduces the risk of developing good answers to the wrong questions or providing study results that cannot be made actionable. For most studies this will include writing a study plan with purpose, scope, objectives, methods, resources, timeline, and other elements required to enable effective study management and produce actionable results. Improperly defined studies waste time and resources.

b. Studies are organized analytic assessments used to understand complex issues. They are also used to improve policy development, decision-making, management, and administration. Efforts may involve the study of policy, strategy, tactics, concepts, operations, organizations, resource allocation, training forces, support of forces, and programs. The acquisition, test, and evaluation of systems may additionally be study topics. Figure 2-1 depicts the program system structure. Units of analysis for studies at USMEPCOM are typically defined within three dimensions: domains, functions, and constructs. A unit of analysis is the 'what' or 'whom' being studied (e.g., the people, objects, or business activities). Domains represent the study scope or boundaries. Functions involve some action, intervention, or process that affects the unit of analysis. Constructs represent influencing factors or the organizational and customer context for units of analysis and functions. Effective studies develop useful data for analysis to support planning and decision making.

Figure 2-1. Study Program System Structure

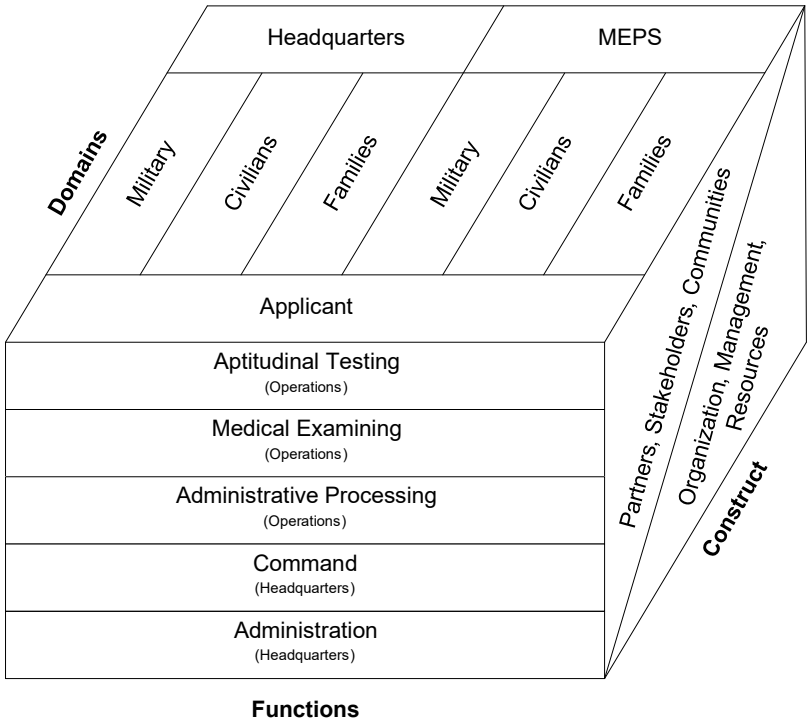

Figure 2-1. Study Program System Structure

c. Analyses are those more tightly scoped activities for developing and interpreting data. They are carried out as part of a larger study or independently when a full treatment of a topic is unnecessary. Analysis activities usually include obtaining and preparing quantitative and qualitative data, applying appropriate statistical and other techniques to interpret the data, and preparing information reports to communicate the data in useful formats to support planning and decision making. The guiding principal for these activities is a well-stated and documented purpose and scope directly supporting operational research.

d. Evaluations determine the merit, worth, or value of things. The evaluation process identifies relevant values or standards that apply to what is being evaluated, performs empirical investigation using techniques from the social sciences, and then integrates conclusions with the standards into an overall evaluation or set of evaluations. Evaluations do not constitute research, but are instead classified as operational research when the intent is to provide for quality assurance and quality improvement.

e. In practice, research can be categorized as nonoperational or operational; the distinguishing characteristic is the intended use of the findings. Nonoperational research is intended to contribute to generalizable knowledge (i.e., “knowledge that is expressed in theories, principles, or statements of relationships that can be generally applied to our experiences”). Findings of operational research, on the other hand, are meant to address a specific need or issue.

(1) Per Federal Regulation 45 CFR 46.102d, Nonoperational research is formally defined as a systematic investigation, including research, development, testing and evaluation designed to develop or contribute to generalizable knowledge. USMEPCOM is prohibited from conducting nonoperational

research, but may be authorized to support such research when the USMEPCOM Commander and Accession Policy Director determine it is in the interest of the Government. Any nonoperational research conducted at USMEPCOM will be on an exception basis approved by USMEPCOM Commander, Director DoD Accession Policy, and Director AHRPO.

(2) Operational research is the study of polices, programs, procedures, quality indicators, attainment of goals and supporting objectives, costs, efficiency, effectiveness, status of projects, projections, or estimates and forecasts pertaining to USMEPCOM. It also includes evaluating the impact of external decisions, regulations, instructions, or legislation upon USMEPCOM. The principal goal of operational research is to support planning, management, and decision-making by the Chain of Command in support of USMEPCOM's missions. As such, operational research does not contribute to generalizable knowledge.

(3) The classification of an activity as nonoperational research or operational research determines the approval process and nature of oversight.

2-3. Studies Policies

The USMEPCOM Studies policies include the following:

a. Studies will be managed under a system of integrated control with centralized guidance, review, monitoring, and reporting.

(1) The USMEPCOM J-5 Director provides governance for integrating studies, analyses, and evaluations with the strategic goals and objectives of USMEPCOM and DoD Accession Enterprise.

(2) The USMEPCOM J-5 Director and HRPP provides governance of all studies, analyses, and evaluations involving human subjects.

b. Individual study efforts will be managed to ensure efficient and effective results or outcomes, cost control, implementation of results, and reporting in USMEPCOM and DoD study information systems.

c. Studies will be conducted to provide useful and important input in the development of plans, programs, budgets, and in assessing operational effectiveness and efficiency. Studies will be conducted when there is a reasonable expectation of a significant contribution to decision-making policy, development, or cost savings.

d. Contract studies will be conducted according to the provisions of the Federal Acquisition Regulation (FAR), Defense Acquisition Regulations Systems (DFARS), Army Federal Regulation Supplement (AFARS), and AR 5-14, Management of Contracted Advisory and Assistance Services.

e. Studies should not unnecessarily duplicate other analytical work but they may, in some cases, build on other work done in the same subject area. A literature search before beginning a study is required to provide assurance that the study will not be a duplication of a previous effort as well as providing the researcher with valuable background information. (See Defense Technical Information Center (DTIC) or the Libraries of DoD and joint staff service schools for literature search sources.)

f. Studies should be performed with appropriate state-of-the-art technologies. Modern analytical tools and methodologies should be available for their use. Follow the process specified in UMR 25-1 to identify requirements for Information Technology.

g. Studies will adhere to the principles set forth by DoDI 3210.1, Administration and Support of Basic Research by the Department of Defense, and comply with DoDI 3210.7, Research Integrity and Misconduct standards with special emphasis on attribution of intellectual work and documentation generated during the course of the research activity.

h. All studies, analyses, and evaluations will comply with the USMEPCOM HRPP. Additional conditions apply to aptitudinal and medical qualification programs.

(1) Enlistment Testing and Student Testing research projects will comply with the USMEPCOM HRPP and the scientific review process to provide situational awareness for USMEPCOM HRPP determination prior to committing USMEPCOM to implementation.

(a) Interservice and interagency projects including those originating from the Manpower Accession Policy Working Group (MAPWG).

(b) Oversight for projects originating from the field to include "research" briefs.

(2) Medical research projects will comply with the USMEPCOM HRPP and the Scientific Review Process to provide situational awareness for USMEPCOM HRPP determination prior to committing USMEPCOM to implementation.

(a) Interservice and interagency projects including those originating from the Accession Medical Standards Working Group (AMSWG).

(b) Oversight for projects originating from the field to include "research" briefs.

(3) All software applications developed or deployed within USMEPCOM that have a research application will:

(a) Be registered with J-6 Asset Management.

(b) Have an Army Certificate of Networthiness.

i. All survey, interview, and focus group instruments require a technical review and approval by J-5/MEPT prior to deployment. The review process will include a human subject research determination and ensure compliance with DoD requirements for survey and information collections.

j. Study information and data will be collected, evaluated, and provided to government agencies and the public where appropriate. The following considerations govern data use and release:

(1) Defense Manpower Data Center (DMDC) is the DoD authorized source for accession data both inside and outside DoD.

(2) USMEPCOM Regulation (UMR) 25-52, Management and Disclosure of Command Information, governs information requests under the Freedom of Information Act (FOIA) and Privacy Act (PA) Programs.

(3) UMR 360-1, Command Information (CI), Public Information (PI), and Community Relations (CR), governs information requests managed by USMEPCOM Public Affairs Office.

(4) UMR 1-5, White House, Congressional, and Special Inquiry Program, governs relations with the White House, Members of Congress, and special applicant inquiries.

(5) Operational data pertains to the mission of USMEPCOM to effectively and efficiently process applicants during peacetime and mobilization.

(6) USMEPCOM responsibility for the creation of the initial accession record involves the automated exchange of data to the Services and other Accession Enterprise stakeholders. Proponency for this function rests with J-6/MEIT. All other data exchanges supporting operational research will be coordinated with J-6/MEIT and automated to the maximum extent possible.

(7) The UBIS supports official operational requirements. The release or use of business intelligence data and other aggregated data outside of USMEPCOM, including academic research, requires review and approval by J-5/MEPT. Requests for analysis and data unavailable through other established channels will be submitted through an analysis request system maintained by J-5/MEPT. Requests for Armed Services Vocational Aptitude Battery (ASVAB) scores and data will comply with restrictions established under DoDI 1304.12E, DoD Military Personnel Accession Testing Programs.

(8) When not part of an established release procedure or operational need, data release requires approval of the USMEPCOM Commander or designated approval authority.

(9) Coordination is required, as appropriate, with the USMEPCOM proponent and for scientific review and human subjects determination.

2-4. Performing Organizations

Studies are performed by or with assistance from organizations such as those listed below:

a. Specially formed ad hoc task forces

b. Organizational staff personnel

c. In-house DoD R&D or study and analysis organizations

d. Appointed or contracted consultants or experts

e. Commercial research organizations

f. Federally Funded Research and Development Centers

g. Non-profit organizations.

2-5. Scientific Review

Oversight of USMEPCOM studies, analyses, and evaluations will be provided by the Director J-5/MEPT. A Scientific Review Committee shall convene when required to address substantive research issues. It shall:

a. Be chaired by an appropriate leader or leader representative from J-5/MEPT or other designated official.

b. Include the USMEPCOM HPA.

c. Consist of Directors or representatives as needed from:

(1) Sectors and Military Entrance Processing Stations (MEPS)

(2) J-1/Human Resources Directorate (J-1/MEHR)

(3) J-3/Operations Directorate (J-3/MEOP)

(4) J-4/Facilities and Acquisition Directorate (J-4/MEFA)

(5) J-6/Information Technology Directorate (J-6/MEIT)

(6) J-7/Medical Plans and Policy Directorate (J-7/MEMD)

(7) J-8/Resource Management Directorate (J-8/MERM)

(8) Staff Judge Advocate (MEJA)

(9) Public Affairs Office (MEDC-PA)

d. Coordinate agenda items, representatives, and obtain resources through the USMEPCOM Commander and staff as appropriate.

e. Review, coordinate, and assess the objectives, priorities, foci, balances, and resources for organizations and activities with the USMEPCOM Studies, Analyses, and Evaluations Program.

f. Review and coordinate requests to fund high-priority and unprogrammed studies. Recommend adjustments in the USMEPCOM Studies, Analyses, and Evaluations Program.

g. Meet annually during the last quarter of the fiscal year (FY), to review and approve the proposed USMEPCOM studies, analyses, and evaluations and to resolve issues.

2-6. Human Research Protection

a. Human research protection is governed by a separately maintained DoD A20210 (Assurance) and USMEPCOM HRPP Management Plan. The USMEPCOM Commander is the IO and is personally responsible for the terms of the Assurance. Both documents are approved by the Surgeon General of the Army with administrative oversight by the U.S. Army Human Research Protections Office (AHRPO). Human research projections require acknowledgement and acceptance of the responsibilities for protecting

the rights and welfare of human subjects. This regulation supplements the governing documents by integrating the USMEPCOM HRPP into USMEPCOM operations. The Command is prohibited from directly participating in or conducting human subjects research. The Command may support human subjects research when specifically authorized by DoD Accession Policy. The terms of that support must be clearly defined in a manner that does not engage USMEPCOM personnel in conducting such research. Any rare exceptions to this prohibition must be approved by the USMEPCOM Commander, Director DoD Accession Policy, and Director AHRPO.

(1) Legal basis and governance adopted by USMEPCOM:

(2) 10 United States Code (USC) 980, Limitations on Use of Humans as Experimental Subjects

(3) 32 CFR 219

(4) DoDI 3216.02

(5) DoD A20210

(6) AR 70-25, Use of Volunteers as Subjects of Research

(7) AR 40-38, Clinical Investigation Program

(8) USMEPCOM HRPP

(9) DoD Institutional Agreement for IRB Review (IAIR)

b. Goals of the USMEPCOM HRPP are to ensure that all research meets required standards for protecting human subjects and their data. This includes the following:

(1) Recognizes the rights and welfare of human research participants and ensures these are adequately protected.

(2) Is guided by the ethical principles of respect for persons, beneficence, and justice as set forth in the Belmont Report, and is conducted with the highest level of expertise and integrity.

(3) Complies with applicable Federal, DoD, and Department of the Army (DA) laws and regulations.

c. The objectives of the USMEPCOM HRPP include the following:

(1) Outline specific policies and procedures that implement the Institution's Assurance and ensure ongoing compliance with DoD, Army, and federal regulations, laws, and policies for human subject protection.

(2) Outline specific policies and procedures for the required scientific, regulatory, and ethical review and approval of human subjects research.

(3) Establish and direct continuing education requirements for personnel involved in human subjects research.

(4) Assign roles and responsibilities for the USMEPCOM HRPP.

(5) Ensure accurate and comprehensive transition of USMEPCOM HRPP responsibilities and duties when there is a change in the IO or HPA.

(6) All studies, analyses, and evaluations will receive a human subject research determination prior to initiation.

(7) Determination authority rests solely with HPA/EDO in conjunction with the AHRPO as the institution providing DoD HQ oversight. The distinction between Study Efforts and Non-Study Efforts and examples of Not Research Involving Human Subjects is provided in Appendix B.

(8) Human subject research at USMEPCOM encompasses research conducted, managed, directed, or supported by any employee or agent of USMEPCOM in connection with organizational responsibilities, or using USMEPCOM resources.

(9) An activity is human subjects research when it meets both of these criteria:

(a) Research means a systemic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge. Activities which meet this definition constitute research for purposes of this regulation, whether or not they are conducted or supported under a program which is considered research for other purposes.

(b) Human subject means a living individual about whom an investigator (whether professional or student) conducting research obtains data through intervention or interaction with the individual, or identifiable private information.

(c) An activity defined as either a Non-Study Effort or operational research does not require a human subject research determination. Appendix B contains examples of Study Efforts and Non-Study Efforts.

d. Human subjects research conducted or sponsored by USMEPCOM may not commence unless the research complies with USMEPCOM Assurance and USMEPCOM HRPP. Human subjects research conducted or sponsored by a proponent other than USMEPCOM must meet the following criteria:

(1) Covered by a DoD Assurance.

(2) Approval by the assured institution's IRB of Record.

(3) An Institutional Agreement for IRB Review between USMEPCOM and the IRB of Record.

(4) A research protocol that explicitly and specifically details USMEPCOM's involvement in the implementation of the research.

(5) A data sharing agreement and other appropriate memorandums between USMEPCOM and the proponent.

2-7. Coordination

The Commander, USMEPCOM will ensure that USMEPCOM personnel have access to a broad array of in-house and contract analytical resources. J-5/MEPT will coordinate the USMEPCOM Studies, Analyses, and Evaluations Program Plan. As part of the coordination process, J-5/MEPT will ensure that human protections determinations and survey, interview, and focus group instrument reviews are completed prior to recommending approval of studies, analyses, and evaluations. Additionally, J-5/MEPT will promote coordination of studies with other DoD organizations to make maximum use of resources already available, as well as to leverage ongoing efforts, within the DoD.

This chapter prescribes guidance for the USMEPCOM studies, analyses, and evaluations to support planning and decision-making.

2-8. Success Factors

This section describes some important factors and practices that influence the success of USMEPCOM studies, analyses, and evaluations. The following is not an exhaustive list, but provides guidance for planning and managing research efforts.

a. Plans. All operational studies, analyses, and evaluations must be guided by an appropriate plan designed to align resources and manage progress toward specified objectives. More formal and complex plans will include well-vetted descriptions of problem, purpose, scope, objectives, essential elements of analysis required to achieve objectives, methods, resources (personnel, financial, facilities), timeline, and success measures. Less formal and complex plans may include fewer of these plan components. All studies, analyses, and evaluations must address a defined problem, purpose, and scope. Plans may be developed based on such structured approaches and associated formats as a Plan of Action and Milestones (POA&M), Six Sigma or Lean Six Sigma Charter, the Joint Planning Process, or other suitable ways that meet the intent of this paragraph.

b. Problem definition. Studies are conducted to solve problems and support decision-making. Clear definition of the problem, from the perspective of the problem owner, is the essential first step and foundation of a successful study. In some cases, formal mission analysis may be necessary to define the problem adequately for study. This leads to a clear, concise statement of what a decision-maker needs, shortages, deficiencies, and opportunities that warrant conducting the study.

c. Measures of Effectiveness (MOE). MOE should directly relate to essential elements of analysis. MOE is described as a quantitative description of the level of success achieved. Selection of the MOE is perhaps the most crucial part of any analysis. Poor problem definition will almost certainly lead to inadequate MOE. This will result in misleading or incorrect conclusions. Even good problem definition does not guarantee good MOE. Too often the measures used are those most easily generated by a model, but not necessarily those most directly related to the real world variables being assessed.

d. Timeliness. The time provided to conduct a study should match the problem being addressed. Timely and useful interim results are better than complete results received late. Given the uncertainties of problem solving, planning should allow for schedule flexibility rather than prescribing the time and accepting whatever results are available at that time. An exception is a level of effort or "term" study contract where the analyst agrees to dedicate specific personnel resources to a study problem for a set period of time.

e. Objectivity. Even the appearance of advocacy is to be avoided. Lack of objectivity lowers the credibility of all studies and deprives USMEPCOM of useful information that an objective study might

produce. Decision-makers may use other means than a study to arrive at a decision or a recommendation to higher authority, but they should be supported by unbiased decision information.

f. Uncertainty analyses. A study can produce erroneous results through failure to consider the uncertainty of inputs. A study should define the range of conditions within which results remain valid. This is determined through systematic variation of inputs and assumptions.

g. Interaction with decision-makers. If the problem is significant enough to be addressed by a formal USMEPCOM study, it is significant enough to command the attention of the responsible decision- maker. This is important for a full understanding of the problem and for credibility and acceptance of results by the person or persons who will use them. In general, study results cannot be reduced to a few numbers or to a "yes" or "no." Rather, the results from a better understanding of complex operations or relations, which are best communicated through progressive direct interactions with the decision-maker.

h. In-Progress Reviews (IPRs) should be planned at phase points when it is necessary to report on progress or obtain management guidance. A general schedule of IPRs should be scheduled at the beginning of the study effort to permit coordinated advanced planning for each IPR.

i. Presentation of results. Study reports are often too lengthy. Clear and concise presentation of results should be the goal of every analyst. Writing the report is an integral part of the study and is a real test of the study team's understanding of what has been learned. The report serves as permanent physical evidence of what the study achieved. Studies will be stored in USMEPCOM's knowledge management system (pending development). Studies may be further documented in the Defense Technical Information Center (DTIC) and USMEPCOM Technical Research Library.

j. Liaison and exchange of information. A continuing exchange of information is required between the study-performing team, directorates, and subordinate commands as well as other organizations affected by the study. This will ensure up-to-date information is used. It will ensure the study will be relevant to interests of the agencies and will help facilitate adoption of final study recommendations.

k. Analysis of alternatives. Alternatives are frequently identified and analyzed. It is tempting to select a favorite alternative, present a comprehensive analysis of it, and provide less than a complete analysis of the other alternatives. Analysis of alternatives is meaningful only when each is given balanced treatment. It is also beneficial to develop criteria for the judgment of the alternatives; thereby, permitting managers or other analysts to apply the same criteria to the various alternatives.

l. The final study report. Preparation and coordination of final study reports require more time and effort than usually planned. This frequently results in a heavy workload near the end of the study. Care should be taken in developing the study calendar to allow sufficient time for careful deliberate preparation and coordination of a final report.

m. Implementation planning. Implementation planning should proceed concurrently with conduct of the study. Emerging study results approved by the sponsor may be implemented while the study is in progress. A final product of the study team, in addition to the usual study documents, should be an implementation plan with defined time-phased actions and assigned responsibilities. Responsibility for overseeing the implementation actions should be assigned to an official at a level of the organization that can effectively coordinate the implementation actions.

n. Evaluation. Evaluation of a completed study should review basic information:

(1) Was the problem clearly defined?

(2) Was it too narrow in scope to cover the important determinants or was it so broad that little depth of analysis was possible?

(3) Were the objectives and essential elements of analysis appropriate to the problem? Were all of them completed? If not, why not?

(4) Were the models or methods used adequate for the purpose? What else would have helped?

(5) Was the available data adequate to get good results? Would it have been better to spend more time collecting data before doing the analysis? Exactly what better data should have been collected?

(6) Within what range of variation of major inputs and assumptions are the results valid?

(7) Are the results good enough to take action on? If not, why not?

(8) Was the study group adequate for the job? What other skills would have been helpful?

(9) If the study could be redone with unlimited resources, how should it be done?

o. Cost savings. One purpose of studies is to find ways of accomplishing USMEPCOM's mission more efficiently. For example, improved organizations may require fewer people or improved equipment may reduce the number of items needed initially or as replacements. In some cases, cost saving is in the form of future costs avoided rather than actual costs reduced. In such cases, estimate the consequences if a study was not done. Sometimes cost savings can be described only qualitatively. This is particularly true of policy and strategy studies and methodology or data studies in which particular applications or consequences are not yet defined.

Chapter 3
Survey, Interview, and Focus Group Instruments Control

3-1. General
This chapter defines the Survey Management Control Program (SMCP) for HQ USMEPCOM, Sector HQ, and MEPS and prescribes guidance for surveys and other information collections.

3-2. Scope

a. Surveys and other forms of information collections are governed by DoDI 1100.13, Surveys of DoD Personnel; DoDI 8910.01, Information Collection and Reporting; and DoD 8910.1-M, Department of Defense Procedures for Management of Information Requirements.

b. Information collections within USMEPCOM will additionally comply with DoDI 3216.02 and the USMEPCOM HRPP.

c. The term "survey" includes critiques, assessments, questionnaires, comment cards, and other methods, to include interviews and focus groups, which collect information about USMEPCOM business processes and activities from personnel. Surveys may assess the attitudes, opinions, ideas, and intentions of USMEPCOM personnel (military and civilian), MEPS applicants, and other personnel related to USMEPCOM's core processes. Survey data will be used for gauging performance, policy changes, program management, program evaluation, and process improvement.

3-3. Use of Surveys

a. The SMCP supports DoD survey management objectives:

(1) Avoid duplicative and unnecessary information collection.

(2) Conserve the use of USMEPCOM manpower and resources in response to proposed and approved information collections.

(3) Protect data covered by the Privacy Act and other directives; i.e., HIPAA.

(4) Protect participants in Human Subjects Research.

(5) Ensure information collections employ valid and reliable designs so as to generate useful and useable data.

(6) Use the collected data and conduct credible analyses.

b. The guiding policies of the SMCP are:

(1) Surveys should not be used as an automatic response to an information need.

(2) Surveys are a highly effective means to gather information not normally available or collected through existing mechanisms.

(3) Surveys are valid, accurate, and essential to the mission of USMEPCOM.

(4) The high level of burden associated with surveys require.

c. Justification of a survey before use within the Command.

d. An evaluation of a survey after use within the Command to determine the effectiveness of the instrument and the proponent's use of the survey results.

3-4. Survey Request Procedure

Surveys conducted external to USMEPCOM require approval by the Under Secretary of Defense for Personnel and Readiness USD(P&R). The USMEPCOM Liaison Officer provides guidance for external survey proposals and is the POC to initiate the review and approval process used by DoD after authorization to conduct an external survey is granted by USMEPCOM.

a. Contact the USMEPCOM SMCO to initiate a request for help with survey design, administration, analysis, and reporting. Specifically state the type of assistance required (e.g., development, administration, analysis, etc.) with a signed, or digitally signed, memorandum.

(1)Electronic requests can be submitted to the SMCO at: OSD.North-Chicago.USMEPCOM.List.HQ-J5-MEPT-Survey-Program@mail.mil.

(2)Hard copy request should be sent to HQ USMEPCOM, J-5/MEPT, 2834 Green Bay Road, North Chicago, IL 60064-3091.

(3)Please note that the target population drives the time required to design, coordinate, and administer a survey. The SMCO can provide an estimated timeline, but anticipate up to 8 weeks from the date of request to the date of deployment, depending on complexity.

b. Survey requests must include the following information:

(1) Action Officer Information: Name, organization address, duty phone, and email address.

(2) Title: Survey title should be brief and significant to the respondent.

(3) Statement of Opportunity or Purpose: State the need for the type of information a survey will provide.

(4) Objective: State the rationale of the proposed survey. Clearly describe expected results. Identify applicable regulations, policies, stakeholders, etc., driving the proposed survey.

(5) Target Population: Identify the group of individuals of interest for the survey and sample size (e.g., applicants, recruits, employees, external customers, etc.). Add other defining characteristics (i.e., method used to select participants).

(6) Timetable: Annotate approximate start and stop dates.

(7) Frequency: State when and how often the survey is administered.

(8) Length of Survey: State the estimated time (in minutes) a participant will need to take the survey.

(9) Data Collection Method: State the technique used for data collection (e.g., computer administered, personal interview, focus group, etc.).

(10) Data Usage: State use of data and presentation style (i.e., internal use, research).

(11) Subject areas: List survey topics (potential questions). Ensure each is tied to the objective.

(12) Protection of Data: Describe method(s) for securing data (i.e., locked cabinet, secure computer). Address Privacy Act or Human Research Protections concerns.

(13) Applicable documents: List documents relevant to the request and cite passages pertaining to the request, providing copies of any documents to expedite the review.

(14) Estimated cost of requirement: Provide a cost of each report and survey, to include personnel cost (number of work-hours multiplied by the average cost per work-hour), machine time/cost, supplies used, etc. Multiply the cost by the frequency of the activity.

(15) Coordination: Indicate with whom the request was coordinated.

(16) Justification of the specific need for this requirement: Provide a concise but complete justification for the requirement. Include an explanation of:

(a) Specific need for requirement and resulting benefits in light of projected costs.

(b) Risks or penalties associated with not having the information.

(c) The results of examining other sources of information currently available and why such information cannot satisfy the requirements.

(d) Less costly alternatives considered for satisfying the requirement and why each was not chosen. Specifically address why a survey is the best means to produce the most valid information with the least burden to the individual(s) and organization(s).

(e) How it is to be used by recipients.

(f) How need and use warrant frequency requested.

3-5. Development and Consultative Process

a. J-5/MEPT will assist Action Officers with preparation, development, administration, analysis, and presentation of surveys. The Action Officer will schedule a pre-administration meeting with J-5/MEPT to discuss survey approach, target audience requirements, and timeline. J-5/MEPT will facilitate the process using their expertise in survey research, methodologies, and data analysis to guide the Action Officer to stated objectives. Appendix D outlines considerations when developing a survey.

b. The amount of time to complete a survey is a function of the types of questions asked. The types of questions are weighted by complexity using Question Points as shown in Table 3-1. Three Question Points will typically take a survey respondent one minute to answer. Additionally, the calculation of total time must take into account any skips or other logical redirection to the flow built into the survey.

Table 3-1. Question Points Assigned to Question Types

Type of Question	Question points
(1) Open-ended question	3 Question Points
(2) Question stem (fill in the blank)	1 Question Point
(3) Mark all that apply	1 Question Point for every 6 items in the list
(4) Scale (includes yes/no)	1 Question Point for every 3 items in a list
Source: Unpublished methodology adopted from Joint Advertising Market Research & Studies (JAMRS)	

Table 3-1. Question Points Assigned to Question Types

c. All survey instruments will receive a Human Subjects Research Determination. Projects encompassing greater than exempt human subjects research require a formal research protocol. Project proponents are advised to familiarize themselves with the requirements of the USMEPCOM HRPP, especially the steps for Scientific Review in Figure 1 of the USMEPCOM HRPP. The USMEPCOM HPA will provide guidance with the protocol submission and manage the submission to USMEPCOM's IRB of Record.

3-6. Coordination

The Action Officer must follow current USMEPCOM coordination procedures when preparing the survey package. All USMEPCOM surveys need proper coordination based on the target population. Refer to Table 3-2 for appropriate coordination and possible approval requirements. Additionally, the distinction between internal and external surveys is crucial.

a. A survey addressed to USMEPCOM employees in their capacity as employees is an internal survey. Surveys of USMEPCOM personnel at unionized MEPS require coordination from J-1/MEHR.

b. A survey of USMEPCOM employees addressed to them in their capacity as a private citizen is an external survey. Similarly, surveys of the public, other DoD agencies, federal agencies, and institutions or agencies other than USMEPCOM, are external surveys requiring coordination through the USD(P&R). The USMEPCOM Liaison Officer will provide initial guidance on the likely steps and administrative requirements.

c. Additional specific requirements may apply for a target population. The existence of additional requirements is a factor considered by USMEPCOM approving authorities when recommending a survey. Refer to DoDI 8910.01 to determine the regulatory requirements to follow when surveying the public and collecting personal data. The Action Officer must allocate increased coordination time for target populations outside of USMEPCOM. Contact J-5/MEPT promptly for detailed information and timelines.

Table 3-2. Survey Coordination

TARGET POPULATION \ COORDINATION	USMEPCOM MECD	USMEPCOM J-5/MEPT	USMEPCOM MEJA	USMEPCOM J-1/MEHR	USMEPCOM J-3/MEOP	USD(P&R)	OMB	Applicable Unions
USMEPCOM Personnel (military & civilian)	X	X		X				X
Recruits	X	X	X		X	X		
Applicants	X	X	X		X	X	X	
Personnel in any DoD component outside USMEPCOM	X	X	X	X		X	X	X
Family members of active duty recruits	X	X	X		X	X	X	
Other civilian personnel (i.e., family members of applicants, contractors, general public)	X	X	X			X	X	

Table 3-2. Survey Coordination

3-7. Surveying Bargaining Unit Employees

Prior to conducting a USMEPCOM-wide survey of all civilian employees located at MEPS, the Action Officer must contact J-1/MEHR-CP for assistance in preparing an appropriate written notice to inform the MEPS Commanders of the proposed survey. The MEPS Commanders should seek guidance from their servicing Civilian Personnel Administration Center (CPAC) concerning any requirements of local collective bargaining agreements such as union notification procedures. For planning purposes, MEPS with bargaining units should receive 60–90 days advance notice of the survey. This allows time to provide proper preliminary notification of the survey to the servicing unions and to complete appropriate bargaining (if necessary) prior to the issuance of the survey. If a union objects to the survey, the employees represented by the union may not participate in the survey until the objection is resolved. J-1/MEHR-CP must be informed and kept apprised of these situations/cases and is available to offer advice and assistance to the MEPS and Action Officers concerning union issues.

3-8. External Surveys

USD(P&R) exercises approval authority over, and direct coordination of, external surveys. DoD 8910.1M provides specific procedures for approving information collection requirements. The SMCO will engage the USMEPCOM Liaison Officer on behalf of the Action Officer for specific requirements as necessary. The Action Officer is ultimately responsible for ensuring all submission requirements are met.

a. Review and approval by DoD: USMEPCOM will submit the request and application packages to USD(P&R). Submissions are effectively transferred to USD(P&R) for routing through the proper

channels. The USMEPCOM Action Officer will complete materials required in advance of the submission and with the guidance provided by the USMEPCOM Liaison Officer.

b. DoD Internal Surveys: When surveying DoD personnel outside USMEPCOM, the Action Officer must prepare a memorandum to the Office of the Under Secretary of Defense (Personnel and Readiness) to request approval in accordance with DoDI 1100.13. The Action Officer must also obtain a Report Control Symbol (RCS) from Washington Headquarter Services (WHS). J-5/MEPT will assist with this process.

c. Public Surveys. When surveying civilians or other members of the public, the Action Officer must meet DoD regulatory requirements under DoDI 1100.13, DoDI 8910.01, and DoD 8910.1-M. Additionally, the Action Officer must protect human subjects in research conducted by DoD components in accordance with DoDI 1100.13 and DoDI 3216.02. These guidelines ensure the research explains rationale of the survey and balances this against the effort imposed on the public. Due to regulatory obligations and added coordination with DoD agencies, expect an increase in administration lead time (about 6 months).

(1) Federal Register Notification: The Action Officer must complete a 60-day Federal Register Notification memo and gain approval from the Office of the Under Secretary of Defense (Personnel and Readiness). This notification lets the public know the proposed survey is being considered and will allow for public comments.

(2) OMB Collection Package: The Action Officer must prepare an OMB information collection package describing the requirement for information. This package is reviewed by J-5/MEPT and USMEPCOM's Survey Management Control Officer (SMCO). After proper coordination, the package is forwarded to OMB through USD(P&R) for approval and a control number for the proposed survey. The collection package is also published in the Federal Register for 30 days to allow for public comments. OMB receives these comments for evaluation during the approval process.

d. Interagency Surveys. The Action Officer must follow the licensing process for information requirements. This process is initiated through USD(P&R) and involves preliminary discussions with General Services Administration (GSA), preparation of a justification statement, and collection of cost estimates for responding agencies. The submission requires a Standard Form (SF) 360, Request to Approve an Interagency Reporting Requirement. The justification statement accompanying the SF 360 must include the following elements:

(1) State why the report is needed and how it will be used.

(2) Describe the benefits (in dollar value, if possible) expected from the information and assess the probability that the benefits will be achieved.

(3) Describe how the program will be affected, if the information is not obtained.

(4) Identify any responding agencies that took part in designing, testing, and estimating the cost of the proposed report.

(5) Identify the agencies that agree or do not agree with the proposed report and summarize the reasons.

(6) Explain how the reporting costs shown on the SF 360 were derived.

(7) Describe other reporting plans considered including:

(a) Frequency of reporting

(b) Use of exception reporting

(c) Use of sampling techniques

(d) Selection of respondents

(e) Obligation of respondents to comply

(f) Amount of detail

(g) Format of report

(h) Method of transmission

3-9. Approval Process

All USMEPCOM surveys must receive formal approval from the USMEPCOM Commander or Chief of Staff/Deputy Commander (MEDC) prior to administration. The Commander may delegate approval authority for certain kinds of surveys to Directors, Sector Commanders, or Special Staff Officers. As the principal advisor, J-5/MEPT will review the survey request package and make recommendations as required. The Director of J-5/MEPT will recommend approval or disapproval to the MEDC or other delegated officials.

a. If the survey is approved, USMEPCOM, J-5/MEPT SMCO will assign a USMEPCOM survey control number (SCN) and expiration date. The USMEPCOM SCN will appear on the first page in the following format: USMEPCOM SCN: YYYY NNN.VVV where:

(1) YYYY = a four digit calendar year

(2) NNN = a project number

(3) VVV = a numerical version and instrument number

b. If the survey is disapproved, J-5/MEPT will submit a memorandum to the requesting official stating rationale for disapproval.

c. The USMEPCOM SMCO will record external SCNs for display on all approved instruments.

3-10. Public Release of Survey Results

Survey results can be released to the public if the format does not individually identify respondents and is not harmful to the individual's privacy or governmental interest, or if the data is not exempted from disclosure by the Freedom of Information Act (FOIA) as stated in DoD 5400.11, Department of Defense Privacy Program. To publish results to the media, contact MEDC-PA. Do not respond directly to requests

for survey results from non-DoD agencies, but forward the request to the USMEPCOM FOIA and Privacy Act Release Officer in J-1/MEHR-PR.

3-11. After Action Requirements

While surveys are a highly effective means to collect otherwise unavailable information, there are costs associated with their use. In order to ensure the utility of surveys, After Action Reports (AARs) and/or progress reports in memorandum for record format are required for all survey instruments. These reports constitute an evaluation of the effectiveness of the instrument, the quality of the data collection, and the usage of data by the survey proponent.

a. The Action Officer will submit an AAR to the SMCO within 30 days after the expiration of an information collection.

b. For reports 1.5 years or greater in duration, the Action Officer submits a progress report to the SMCO within 30 days of the annual anniversary of USMEPCOM approval for the information collection.

c. AARs and Progress Reports will minimally contain the following elements:

(1) Progress made in capturing the target responses to include:

(a) Original number of responses expected

(b) Number of responses obtained to date

(c) Number of potential respondents

(d) Time elapsed since initiation of the survey

(e) Time remaining for the survey

(2) Frequency the survey is administered.

(3) Assessment and reliability of the data collected.

(4) Specification of the methodologies employed when using the data.

(5) Specification of what decisions, if any, were made using the data.

(6) Description of how the proponent incorporated the survey into business processes.

(7) Possible improvements to the instrument.

(8) Estimate of the benefits of the data or the cost of not having the data.

(9) Specification of any lessons learned from the employment of the instrument.

Chapter 4
Research Integration and Operational Research Activities

4-1. General
This chapter provides guidance for integrating studies with USMEPCOM operations when studies rely upon USMEPCOM information systems and business processes. Under normal circumstances, the development and deployment of information systems, applications, and business processes follows a linear path. Studies impose additional constraints upon USMEPCOM with respect to data collection and data use. Further constraints are imposed when an activity is human subjects research because a subjective interpretation of permissible interactions or interventions is vested with the HPA. Data for decision-making and research purposes requires reliability and validity, or at least a clear understanding of the administrative context in which the data is generated. Human subject research typically requires a partitioning of the research and operational environments. These constraints complicate a development process already encumbered by requirements from the Privacy Act and the Health Insurance Portability and Accountability Act (HIPAA).

4-2. Research Forum Coordination
USMEPCOM participates in a number of forums where research is a potential agenda item. Forums may be informal or formal and convened by any level of sponsor (e.g., DoD, academic, USMEPCOM employees acting in a non-official capacity, private parties). Formally convened forums under a DoD Charter, such as the MAPWG and the AMSWG, are expected to generate the bulk of research activities. Regardless of the forum characteristics, functional proponents have a responsibility to provide for coordination internal to USMEPCOM prior to engaging in, or committing USMEPCOM to the support of research. Figure 5-1 presents a holistic view of the process to coordinate research originating from research forums. The process is modified somewhat when the research is internally generated. The requirements for coordination by USMEPCOM functional proponents apply to DoD working groups and entail:

a. Providing HPA and SRCOR with sufficient situational awareness for engagement when research constitutes a forum agenda item.

b. Ensuring research projects will comply with the USMEPCOM HRPP and the Scientific Review policies.

c. Providing USMEPCOM HPA and SRCOR with technical documents, applicable research protocols, and IRB documents.

d. Submitting internally driven medical research to AMSWG for review and approval.

e. Coordinating the review of USMEPCOM research briefs and data provided outside USMEPCOM with SRCOR and MEDC-PA.

4-3. Requesting Analytical Support
J-5/MEPT supports USMEPCOM and the Accessions Enterprise by providing relevant and timely analytical support. Requests for analytical support are sent to the J-5/MEPT through various sources and methods. The Standard Operating Procedure (SOP) below will assist J-5/MEPT leadership in effectively managing, routing, and completing requests.

a. Submission of requests for analytical support.

(1) All requests must be submitted to: USMEPCOM distribution group HQ-J5-MEPT-Analysis Request or emailed to: OSD.North-Chicago.USMEPCOM.List.HQ-J5-MEPT-Analysis-Request@mail.mil.

(2) HQ-J5-MEPT-Analysis Request distribution group and OSD.North-Chicago.USMEPCOM.List.HQ-J5-MEPT-Analysis-Request@mail.mil will include, but not be limited to, the following individuals:

(a) Director, J-5/MEPT

(b) Deputy Director, J-5/MEPT

(c) J-5/MEPT Program Analysis & Evaluation Division Chief and staff members

(d) J-5/MEPT Human Protections Administrator

(e) J-5/MEPT Administrative Assistant

(3) J-5/MEPT personnel who directly receive requests will forward the request to: OSD.NorthChicago.USMEPCOM.List.HQ-J5-MEPT-Analysis-Request@mail.mil.

(4) Creation of Unicenter, or HelpDesk, tickets by personnel outside of J-5/MEPT for the purpose of tasking J-5/MEPT personnel to support requests is prohibited.

(5) The Program Analysis & Evaluation Division Chief is the primary POC who will ensure that all requests are properly routed and assigned to J-5/MEPT staff members.

b. Requests will contain the following information:

(1) Person requesting analytical support

(2) Organization requesting analytical support

(3) Date Requested

(4) Date Required

(5) Purpose of Request

(6) End user of analytical support (USMEPCOM, MEPS, OSD, US Government Accountability Office (GAO), etc.)

(7) Type of Request (e.g., data extract, new or modification to BI report, geo-coding, modeling, and/or simulation)

(8) Timeframe of data required (e.g., all of FY08, FY06-08, April 1, 2008-July 31, 2008)

(9) Requested output format (e.g., briefing slides, map, graphs/bar chart, spreadsheet, etc.)

(10) Requestor contact information.

c. J-5/MEPT will maintain an analytical support request repository.

(1) All requests for analytical support will be logged by J-5/MEPT with relevant data elements recorded in a consistent fashion to facilitate tabulation and statistical analysis of requests.

(2) The disposition of requests will be recorded in a timely manner and in accordance with the established data elements to monitor the level of effort.

(3) All work and correspondence generated on behalf of the request will be preserved in a repository for review and future use.

(4) J-5/MEPT will incorporate a Report on Requests for Analytical Support in the Annual Evaluation of Results, Studies, and Programs. The report will:

(a) Analyze the trends in requests especially to identify gaps in analytical products.

(b) Report on level of effort required to support requests.

(c) Assess the efficiency, effectiveness, and timeliness of responses to requests.

(d) Provide, as appropriate, recommendations for new, or suspension of, studies and research products.

4-4. USMEPCOM Business Intelligence

Business Intelligence (BI) is the acquisition, correlation, and transformation of data into insightful and actionable information through analytics. BI enables USMEPCOM and the Accession Community to make better, timelier decisions. BI encompasses a wide range of technologies, data integration approaches, canned and custom applications, and information/analysis delivery methods. USMEPCOM has utilized BI in varying forms and designations. BI employed within USMEPCOM is formally designated as USMEPCOM Business Intelligence (UBI). The environment (infrastructure) supporting UBI is denoted as the USMEPCOM Business Intelligence System (UBIS). UBIS is treated as part of the USMIRS system of systems for portfolio management purposes.

a. UBIS is the Command's official business intelligence system and the authoritative source for applicant processing information, workload reporting, and Command metrics. Personally Identifiable Information (PII) is authorized to be included in UBIS for operational/business use only. USMEPCOM is a data-centric organization that uses data in real time for operations planning, management, and performance measurement to assure mission efficiency, effectiveness, controls, and accountability. Business intelligence data and reports must be made available only to specifically authorized individuals and non-person entities through secure, managed means that provide verified, auditable access and exception reporting. The USMEPCOM will be good stewards of business data and information. This will include protecting data from unauthorized access, use, or manipulation while at rest, in motion, and in use. The UBIS will use, house, access, or manage only data and information that provided demonstrable value for mission support or mission operations. The UBIS will not be used to access, house, or manage any data and information that is classified as PHI in electronic health records or systems where that data is subject to requirements of HIPPA. Compliance with these requirements will be audited annually for

validation and security accreditation. UBIS data will be purged upon five years of age. PII will be minimized to the greatest extent possible to prevent duplicate of data.

(1) USMEPCOM Integrated Resource System (USMIRS) remains the official accession reporting system for DoD IAW UMR 680-3, USMEPCOM Integrated Resource System and DoDI 1336.08, Military Human Resource Records Life Cycle Management, where USMEPCOM is designated as the authoritative source for accession records information and data.

(2) In keeping with the principals of UBIS as a single, central, and consistent source of data and analyses, management analyses and reports will rely upon UBIS to the maximum extent practical. USMEPCOM personnel will utilize the procedures for requesting analytical support as appropriate to engage the UBI functional proponent.

(3) When UBIS does not contain requisite data, the UBI functional proponent will:

(a) Provide alternative analytical support to include data, analyses, and recommendations. Documentation in a professional and parsimonious format will accompany the analytical support and describe the methodologies used and the uses or limitations of provided support.

(b) Evaluate the feasibility of extending UBIS to encompass other systems and data.

b. Proponency for UBI is jointly shared:

(1) J-5/MEPT is the functional proponent for BI and will:

(a) Prepare an annual UBI Work Plan.

(b) Incorporate the UBI Work Plan into the USMEPCOM FY Studies Program Cycle with quarterly progress reports and an annual evaluation of the UBI Work Plan.

(c) Maintain a data quality assurance program to:

1. Monitor the accuracy of UBIS content.

2. Monitor the accuracy of source data feeding UBI.

3. Respond to field and HQ notice that data is deemed incorrect when submitted using the procedures for requesting analytical support.

4. Eschew short-term fixes to raw data and instead institute long-term solutions to encompass modifications to Extract, Transform, and Load (ETL) procedures.

5. Fully document and maintain documentation of UBI content and components in a manner that facilitates use of the documents by analysts at all levels within and outside of USMEPCOM.

(d) Provide Subject Matter Expert (SME) input on UBI training regimens.

(e) Provide conferences and orientation with status of UBIS.

(f) Develop and maintain content for UBI to include databases, ETL, Online Analytical Processing (OLAP) models, and reports.

(2) J-6/MEIT is the technical proponent and will:

(a) Maintain the UBIS network infrastructure to include production and development environments.

(b) Provide database administration support to J-5/MEPT for maintenance and development.

(c) Provide situation awareness to, and actively engage with, J-5/MEPT with respect to modifications to source data systems.

(3) J-1/MEHR as the proponent for training will:

(a) Provide and facilitate awareness of UBI for new employees and ongoing awareness throughout USMEPCOM at conferences and training sessions.

(b) Develop a Command-wide training program for UBI with J-5/MEPT and other appropriate SME input.

(c) Establish and monitor training to ensure an appropriate number of personnel degree are proficient with command BI systems.

(4) All USMEPCOM organizational units will maintain a cadre of personnel proficient in the use of UBIS that takes into account employee turnover and improvements in content and capabilities to UBI.

4-5. Data Use and Data Release Procedures

USMEPCOM data, including data from the UBIS, constitutes official operational data. Data use and data releases will comply with DoD Directive (DoDD) 5122.05, Assistant Secretary of Defense for Public Affairs (ASD(PA)); DoDD 5230.09, Clearance of DoD Information for Public Release; and DoDI 5230.29, Security and Policy Review of DoD Information for Public Release. Additionally, the USMEPCOM mission entails generation of data covered by the Privacy Act, HIPAA, and DoDI 3216.02, and UMR 25-3, Managing Information Technology Resources. Data use within, and release from USMEPCOM is governed as follows:

a. The UBIS supports official operational requirements. The release or use of BI data and other aggregated data including data compiled for USMEPCOM briefs outside of USMEPCOM or for nonofficial purposes, including academic research, requires review and approval by J-5/MEPT.

(1) When applicable, J-5/MEPT will coordinate data releases with USMEPCOM functional proponents.

(2) Decision authority to fulfill FOIA/Privacy Act requests and Public Affairs requests respectively rest with the FOIA/Privacy Act Officer and MEDC-PA.

b. Release of record level data, including Personally Identifiable Information (PII), not governed by FOIA, Privacy Act, established operational requirements for directly processing or enlisting applicants, or a formal exemption under this regulation requires:

(1) A formal written request to the Commander, USMEPCOM on file with, and approved by, J-5/MEPT.

(2) A human subjects protection determination by USMEPCOM HPA/EDO unless the activity is conducted entirely internal to USMEPCOM and is listed under Appendix B as a Non-Study Effort or not Human Subjects Research.

(3) Approval by the Commander, USMEPCOM when the research purpose constitutes human subjects research requiring either an expedited or full IRB review.

(a) USMEPCOM is engaged in the activity, approval of USAMRMC IRB or another IRB for which USMEPCOM has an IAIR.

(b) When USMEPCOM is supporting the activity, approval of AHRPO as an administrative review.

(4) A current Data Sharing Agreement and either an approved Study Protocol with IRB Determination or Project Plan on file with the USMEPCOM HPA/EDO.

c. DoDI 1304.12E requires review and approval by USD(P&R)(MPP) of requests for test score data except:

(1) Test score data routinely provided to applicants, Military Services, and DMDC.

(2) Student test score data routinely provided to students, schools, Military Services, and DMDC.

(3) Student test scores and school summary data which are provided to school officials.

d. While USMEPCOM is designated as the authoritative source for accession records information and data, DMDC is the DoD authorized source for accession data requested for studies both inside and outside DoD. J-5/MEPT will evaluate requests for data and determine if the request should be fulfilled by USMEPCOM or DMDC based on the following considerations:

(1) USMEPCOM does not possess the complete data set requested.

(2) Data is requested by a private third party.

(3) The request is not within the purview of the USMEPCOM mission.

e. Requests for data and information not part of an established release procedure, requires approval of the MEDC-PA and compliance with UMR 25-52.

Chapter 5
USMEPCOM Studies, Analyses, and Evaluations Program Assessment

5-1. Study Program Evaluation
An annual evaluation of the results and uses of the studies is prepared by USMEPCOM SPO and reported for all projects completed during the FY. This evaluation uses Directorates' and subordinate commands' evaluations to develop a descriptive evaluation of the impact of the preceding FY's USMEPCOM Studies Program. This is conducted to provide guidance, identify areas for improvement, maintain continuity, and provide USMEPCOM leaders with an assessment of the return on investment in study resources.

5-2. Operational Program Planning and Program Evaluation
Program planning and program evaluation are inherently complementary activities.

a. The proponent for program evaluation at USMEPCOM is J-5/MEPT.

b. Programs and evaluations will be designed for the best balance of effectiveness and simplicity.

c. Programs will be governed by a USMEPCOM or higher level regulation, or a Command policy.

d. Programs will be aligned with a goal of the USMEPCOM Strategic Plan. Formative evaluation reports for programs may recommend adding or changing a goal of the Strategic Plan.

e. Essential elements of program plans include at least: purpose, scope, objectives, organizational alignment, roles and responsibilities, procedures and policies that govern the activity, and timeline.

f. Formative and summative program evaluations will be coordinated with USMEPCOM staff elements and presented to the USMEPCOM Commander.

g. A qualified program analyst will lead program evaluations in partnership with a team of three to seven program stakeholders. Evaluations will be championed by an HQ Director, Deputy Director, Commander, or Deputy Commander.

h. A formal or informal formative evaluation will be conducted at the inception of any program. The purpose of this evaluation is to validate the business requirement for the program along with its scope, goals, objectives, performance measures, and strategies for staffing, financial resourcing, and management. The formative evaluation report will assess the overall soundness of the program against the above items and other criteria determined appropriate by the evaluation team. The report will provide one of the following recommendations:

(1) Approved for staff coordination leading to approval by the USMEPCOM Commander

(2) Returned to the proponent for improvement in specified areas

(3) Postponed

(4) Halted

i. Periodically, during the life of the program, an informal or formal summative evaluation will be conducted. The purpose of this evaluation is to assess how well the program is meeting its goals. The

evaluation report will assess program performance in operational outcomes, personnel productivity, and financial management. The report will recommend changes to program scope, goals, objectives, performance measures, and strategies for staffing, financial resourcing, and management.

j. Selection criteria for program evaluation may include funding impacts, human resource impacts, stakeholder impacts, DoD visibility, Commander's priority, Congressional interest, and business risk management.

k. Evaluation criteria for programs may include return on investment, time saved, cost saved, milestones met, efficiency or effectiveness improved, quality maintained or improved, or customer requirements fulfilled. Triggers or drivers for evaluations may include budget lines over a specified amount, decision briefs for some threshold level of resources, risk, and mission impact.

Chapter 6
Life Cycle Management of Studies, Analyses, and Evaluations

6-1. Individual Efforts

a. This chapter prescribes the requirements for managing the life cycle of individual efforts included in USMEPCOM's Studies Program.

b. Steps to conduct a study include the following:

(1) Initiation

(2) Validation (gap analysis)

(3) Development and conduct

(4) Evaluation and implementation

(5) Documentation and reporting

6-2. Initiation

The primary objective of the initiation phase is to decide if the study is needed. This must be accomplished during the development process to avoid including studies that are not required and the unnecessary use of valuable resources. See Figure 6-1 for format of USMEPCOM SAE Program proposal submission. During this phase, the following must be accomplished:

a. Establish a need for the study, relating planned results to solutions to USMEPCOM's problems.

b. Appoint a study manager or a COTR for the study.

c. Organize an SASC, if required, and convene the SASC early enough to assist in review of the study concept paper and other study documentation.

d. Identify the objective of the study.

e. Verify the requirement for the effort. This may involve coordination with other agencies or commands and should involve conducting a preliminary literature search.

f. Define the problem and scope in clear, unambiguous terms.

g. Determine a manageable number of valid objectives.

h. Identify the uses and users of the anticipated results.

i. Determine when the study results are needed, end product desired, and potential uses of the product.

j. Determine if the study should be accomplished in-house or by contract.

k. Arrange an appropriate schedule of meetings with the sponsor to provide information on the study progress as required.

l. Conduct a literature review and create a file of pertinent study reference papers and documentation as described in DA Pamphlet 5-5; Guidance for Army Study Sponsors, Sponsor's Study Directors, Study Advisory Groups, and Contracting Officer Representatives; Chapter 3.

6-3. Validation

a. This phase corroborates the need for a study before actual work begins. Validation will consist of a gap analysis (an assessment of the strategic vision and objectives of the Command to determine the requirement for the study) and a thorough literature review. All known work-related to the topic must be reviewed to eliminate any unnecessary duplication of work. The Command Technical Research Librarian must be consulted during this phase to ensure all known source documents are reviewed before conducting the study. Studies may be conducted either under contract or as an in-house effort.

b. The study sponsor will:

(1) For studies to be conducted by USMEPCOM or for USMEPCOM by a government agency: approve the initiation of the project through memorandum or another appropriate instrument.

(2) For contract studies:

(a) Approve a Management Decision Document (MDD) and Statement of Work (SOW) (see AR 5-14 for examples of both documents).

(b) Forward the MDD for studies to the SPO.

(c) Nominate a study manager and/or COTR.

6-4. Development and Conduct

a. This phase begins when the study organization actually initiates the work and ends when the sponsor approves the final study report or terminates the study effort.

b. The following must be accomplished during this phase:

(1) Monitor study progress through formal progress reviews and informal discussions with the SPO.

(2) Review and approve all SASC meeting minutes.

(3) Request termination of the study contract before the scheduled completion date when appropriate.

(4) If the study is performed using a contract, ensure the deliverables indicate the quantity of products, place of delivery, and schedule of delivery. All dates in the SOW should be stated relative to the date of contract award.

(5) Develop a viable study plan and monitor the study progress through frequent contact with the performing organization. Any modifications to the study plan must be necessary, related to the study effort, and should be developed jointly by the sponsor and study organization. Only the contracting officer may approve substantial changes to a contract. Substantial changes are those which would change the focus of the effort. A copy of the approved changes will be submitted to the SPO to ensure the program accurately reflects work being performed by, or for, USMEPCOM.

(6) If necessary, convene a SASC to provide advice, assistance, and direction to the organization performing the study.

(7) Present a study plan to the SPO for review and approval to ensure the objectives are achieved.

6-5. Evaluation

a. This phase follows completion of a study to inform the sponsor of how well desired objectives were met.

b. The study sponsor will:

(1) Approve findings and recommendations of the study.

(2) Review and approve the evaluation of the results of the study prepared for inclusion in the DTIC Work Unit Information System (WUIS) Worksheet.

c. The SRCOR will:

(1) Provide a written evaluation of the results of each study (see Figure 6-1 for format) within 30 days after implementation of the study results or within 6 months after completion, whichever occurs first. (This evaluation may include a technical assessment of the study methods and procedures used to conduct the study. This evaluation forms the basis for the annual USMEPCOM Study Program Evaluation. Copies of the evaluation will be submitted to the study sponsor, the study performer, and the SAE Program Office. Evaluations submitted to the SAE Program Office will also be used to select studies for consideration and inclusion into the USMEPCOM Study Highlights.)

(2) Evaluate the completed study and include comments on the DTIC WUIS Worksheet.

(3) Determine the extent to which study objectives have been achieved.

(4) Follow the procedures in AR 5-14, paragraph 4-5c for additional management evaluation guidance for a contract study.

6-6. Implementation

a. This phase usually begins after the study ends. However, selected emerging results of a study may be implemented while the study is in progress.

b. The study sponsor will:

(1) Evaluate the results of each study and determine which results should be implemented.

(2) Develop an implementation plan and monitor study progress through completion.

c. The SRCOR will:

(1) Submit study findings and recommendations to the sponsor for approval.

(2) Validate or revise the implementation plan.

(3) Coordinate execution of the implementation plan and ensure appropriate follow-up actions are taken.

6-7. Documenting and Reporting

The following activities are conducted before, during, and after completion of an individual study.

a. Information Reports. The study manager through the SPO will ensure the final report and any presentation materials are archived in USMEPCOM's Technical Library as well as prepare the Scientific and Technical Information Network Research Summary Worksheet and provide it to DTIC when appropriate. The documentation is submitted under the following guidelines:

(1) Initiation: Submit an initiation report consisting of the signed MDD and a statement verifying the completion of the gap analysis and the literature review within 15 days following the initiation of the study. Provide annual updates until the study is completed or terminated.

(2) Interim: Submit an interim report after any major changes (such as, funding, principal personnel, or any substantial in text changes).

(3) Termination: Submit a termination report within 15 days following cancellation or suspension of a study if it continued more than 3 months.

(4) Completion: Submit a completion report within 30 days following completion of a study. The completion report will list the major findings and any actionable conclusions resulting from the study. Recommendations for future studies must also be detailed in the completion report.

(5) Evaluation: Submit results within 30 days after implementation or within 6 months after completion date of study, whichever occurs first. The Scientific and Technical Information Network Research Summary Worksheet may be submitted to DTIC.

b. Preparation and management of study documents. The SPO prepares and manages study documents for both contract and in-house studies. For a contract study, the study manager should follow the guidance of AR 5-14, paragraph 4-6b. For studies performed in-house, the SPO ensures the following requirements are addressed:

(1) The agency performing the study oversees the preparation, review, publication, and distribution of documents in accordance with AR 70-31, Standards for Technical Reporting. This function also involves maintaining proper security measures as found in AR 380-5, Department of the Army Information Security Program.

(2) Personal data collected or assessed during the effort must be managed according to the Privacy Act of 1974 (5 USC 552a) as implemented in AR 25-22, The Army Privacy Program.

(3) FOIA requests must be responded to according to the FOIA (5 USC 552). Only the initial denial authority (as prescribed by the FOIA) may deny information requested under the FOIA.

(4) The controlling authority (usually the SPO) approves release of documents produced by an in-house study.

(5) Disseminating information and materials produced by studies to all interested parties is consistent with security classification and proprietary information under the FOIA and the Privacy Act. However, if a FOIA request is made for release of emerging results, but release would significantly impair Army performance of missions or cause confusion or misunderstanding about Army goals or policies, the information should be withheld under the FOIA and AR 25-55, The Department of the Army Freedom of Information Act Program, by the appropriate initial denial authority until the effort has been completed and release has been allowed by the controlling authority.

(6) A cover page is prepared for each document, identifying the sponsoring organization (including office identification and location), the responsible person within the organization, and a disclaimer statement (such as, "The views, opinions, and findings in this document are those of the author(s) and should not be construed as official Department of the Army position, policy, or decision unless so designated by other official documentation.")

c. Final reports. The study manager will submit two copies of each final report (one electronic copy and one hard copy) together with completed SF 298 Report Documentation Page to the SPO, ATTN: USMEPCOM Technical Library, 2834 Green Bay Road, North Chicago, IL 60064-3091.

Figure 6-1. Study Program Proposal Format

PROPOSAL FOR FYXX RESEARCH PROJECT
USMEPCOM Studies, Analyses, and Evaluations Program

1. **Title:** Title should be short but descriptive. Spell out acronyms.

2. **Sponsor**: Subordinate command or staff element submitting proposal.

3. **Action Officer**: Name and Title Directorate
Office Symbol
Telephone (Commercial and DSN)
Fax (Commercial and DSN) Email

4. **Problem Statement**: Give a brief description of the proposed study such as a single paragraph of three to five lines.

5. **Methodology and Scope**: Provide general methodology options for conducting the research with parameters and/or limits describing the extent of research that must be accomplished such as two to three paragraphs of three to five lines each.

6. **Research Review**: A literature review to see if the issue had been studied in the past by the Army or other DoD agencies. State if research had not been done in this area. If similar research had been done, how will this proposal build on past research efforts? List of completed studies, author, year, and applicability to this effort.

7. **Purpose and Expected Results**: Indicate how the results will benefit the Army and how the results will be implemented, specifically, what decision will this affect, in one to three bullet comments.

8. **Expected Milestones and Timeline**: Provide an estimate of timelines and interim products to be provided, such as IPRs, interim reports, or emerging results of survey information such as a list of proposed dates starting with "N" as approval date.

9. **Estimated Cost and Alternatives**: Discuss costs associated with the research options aligned with methodology options and alternative means to gather required information.

10. **Suggested Researcher(s)**: If you have a suggested researcher or believe sole-source justification is necessary, please include the name of the organization or individual and contact information. List one to three researchers.

Figure 6-1. Study Program Proposal Format

Appendix A
References

Section I
Publications referenced in or related to this regulation

5 USC 552
Freedom of Information Act

5 USC 552a
Privacy Act of 1974

10 USC 980
Limitations on Use of Humans as Experimental Subjects

10 USC 1102
Confidentiality of medical quality assurance records

32 CFR 219
Protection of Human Subjects

45 CFR 46
Protection of Human Subjects

AR 5-14
Management of Contracted Advisory and Assistance Services

AR 11-2
Managers' Internal Control Program

AR 20-1
Inspector General Activities and Procedures

AR 25-1
Army Knowledge Management and Information Technology

AR 25-22
The Army Privacy Program

AR 25-55
The Department of the Army Freedom of Information Act Program

AR 40-38
Clinical Investigation Program

AR 55-80
DoD Transportation Engineering Program

AR 70-8
Soldier-Oriented Research and Development in Personnel and Training

AR 70-25
Use of Volunteers as Subjects of Research

AR 70-31
Standards for Technical Reporting

AR 73-1
Test and Evaluation Policy

AR 355-15
Management Information Control System

AR 380-5
Department of the Army Information Security Program

AR 600-46
Attitude and Opinion Survey Program

DA Pamphlet 5-5
Guidance for Army Study Sponsors, Sponsor's Study Directors, Study Advisory Groups, and Contracting Officer Representatives

DoD A20210
USMEPCOM Assurance of Compliance for the Protection of Human Research Subjects

DoD 5400.11
Department of Defense Privacy Program

DoD 8910.1-M
Department of Defense Procedures for Management of Information Requirements

DoDD 1304.12E
DoD Military Personnel Accession Testing Programs

DoDD 5122.05
Assistant Secretary of Defense for Public Affairs (ASD(PA))

DoDD 5141.01
Director, Program Analysis and Evaluation (PA&E)

DoDD 5230.09
Clearance of DoD Information for Public Release

DoDI 1100.13
Surveys of DoD Personnel

DoDI 1336.08
Military Human Resource Records Life Cycle Management

DoDI 3216.02
Protection of Human Subjects and Adherence to Ethical Standards in DoD-Supported Research

DoDI 3210.7
Research Integrity and Misconduct

DoDI 5230.29
Security and Policy Review of DoD Information for Public Release

DoDI 6025.13
Medical Quality Assurance (MQA) and Clinical Quality Management in the Military Health System (MHS)

DoDI 6200.02
Application of Food and Drug Administration (FDA) Rules to Department of Defense Force Health Protection Program

DoDI 8260.01
Support for Strategic Analysis

DoDI 8260.02
Implementation of Data Collection, Development, and Management for Strategic Analyses

DoDI 8910.01
Information Collection and Reporting

FAR
Federal Acquisition Regulations

FM 5-0
The Operations Process

HRPP
USMEPCOM Human Research Protection Program

IAIR
Agreement for Institutional Review Board (IRB) Review between USMEPCOM and Headquarters, U.S. Army Medical Research and Materiel Command.

Joint Publication 5-0
Joint Operation Planning

TRADOC PAM 11-8
TRADOC Studies and Analyses

USMEPCOM Regulation 1-5
White House, Congressional, and Special Inquiry Program

USMEPCOM Regulation 25-1
Managing Information Technology Resources

USMEPCOM Regulation 25-52
Management and Disclosure of Command Information

USMEPCOM Regulation 360-1
Command Information (CI), Public Information (PI), and Community Relations (CR)

USMEPCOM Regulation 680-3
United States Military Entrance Processing Command Integrated Resource System (USMIRS)

Section II
Forms referenced in or related to this regulation

SF 360
Request to Approve an Interagency Reporting Requirement

DA Form 11-2
Internal Control Evaluation Certification

Section III
Record Numbers/Disposition Instructions

Record Number 11-2a3/800B: "Management Control Evaluations/Inspections"
PA: N/A
Keep in office file until next management control evaluation, then destroy.
(Referenced in Appendix D-6)

Appendix B
Examples of Study Efforts and Non-Study Efforts at USMEPCOM

B-1. Study Efforts

a. Cost, benefit, or effectiveness analyses of concepts, plans, training, tactics, forces, systems, policies, personnel management methods, and policies or programs.

b. Cost and Operational Effectiveness Analyses (COEA) (AR 71-9, Warfighting Capabilities Determination).

c. Technology assessments and management and operations research studies in support of Research, Development, Test, and Evaluation (RDT&E) objectives.

d. Evaluations of organizational structure, administrative policies, procedures, methods, systems, and distribution of functions.

e. Research and development of databases, models, and methodologies for accomplishing specific studies and analyses.

f. Analyses of materiel, personnel, logistics, and management systems.

g. Studies to establish materiel requirements.

h. Studies in support of operational testing.

i. Studies performed by in-house (military and civilian) personnel requiring to make a significant contribution to a body of knowledge, advance understanding of a phenomenon or process, serve as a building block for future efforts, or may be adapted to other functional areas, missions, or applications.

j. Survey, Interview, and Focus Group Instruments unless identified as Non-Study Efforts or Not Research Involving Human Subjects Research.

B-2. Non-Study Efforts

a. Advanced engineering development in support of specific RDT&E programs for materiel systems acquisition policy (AR 70-1, Army Acquisition Policy) and analytical efforts integral to these programs.

b. Audits (AR 36-5, Auditing Service in the Department of the Army).

c. Development and modification of automatic data processing systems which support other study and analysis activities in the information resources management program (AR 25-1).

d. Development test, operational test, and user test (AR 73-1, Test and Evaluation Policy).

e. Inspector General inspections (AR 20-1, Inspector General Activities and Procedures).

f. Internal reviews (AR 11-2).

g. Recurring USMEPCOM attitudinal and opinion surveys (AR 600-46, Attitude and Opinion Survey Program).

h. Recurring economic and cost analyses in support of mission objectives (AR 11-18, The Cost and Economic Analysis Program).

i. Research and exploratory developments funded in 6.1 and 6.2 RDT&E program categories.

j. Routine engineering analyses of manufacturing methods.

k. Security investigations (AR 380-5).

l. Soldier Oriented Research Development Personnel Training Program (AR 70-8, Soldier-Oriented Research and Development in Personnel and Training).

m. The USMEPCOM Safety Program (UMR 385-1, Safety and Occupational Health Program).

n. Transportation and travel (AR 55-80, DoD Transportation Engineering Program).

B-3. Not Research Involving Human Subjects

DoDI 3216.02 specifies classes of activities that when conducted or supported by the DoD are NOT research involving human subjects. While these activities are not regulated as research involving human subjects other requirements established by DoD and USMEPCOM may exist and the responsibility for ensuring compliance with these requirements rests with the functional proponent. The following activities are treated as not research involving human subjects research:

a. Activities carried out solely for purposes of diagnosis, treatment, or prevention of injury and disease in Service members and other mission essential personnel under force health protection programs of the DoD (including health surveillance pursuant to section 1074f of Title 10, United States Code) and the use of medical products consistent with DoDI 6200.02, Application of Food and Drug Administration (FDA) Rules to Department of Defense Force Health Protection Program.

b. Authorized health and medical activities as part of the reasonable practice of medicine or other health professions undertaken for the sole purpose of patient treatment.

c. Activities performed for the sole purpose of medical quality assurance consistent with section 1102 of Title 10 USC and DoDI 6025.13, Medical Quality Assurance (MQA) and Clinical Quality Management in the Military Health System (MHS).

d. Activities performed solely for an Operational Test and Evaluation (OT&E) project where the activities and project meet the definition of OT&E as defined in section 139(a)(2)(A) of Title 10, USC (Projects do not meet the definition of OT&E when the intent is to analyze the effect of the project on human subjects.)

e. Activities performed solely for assessing compliance of individuals and organizations with requirements applicable to military, civilian, or contractor personnel or to organizational units (including activities such as occupational drug testing, occupational health and safety reviews, network monitoring, and monitoring for compliance with requirements for protection of classified information).

f. Activities (including program evaluation, customer satisfaction surveys, user surveys, outcome reviews, and other methods) designed solely to assess the performance of DoD programs where the results of the evaluation are only for the use of Government officials responsible for the operation or oversight of the program being evaluated and are not intended for generalized use beyond such programs. Specific USMEPCOM examples include:

(1) Interviews and surveys conducted as part of formal hiring and termination processes.

(2) Conference, educational or training course evaluations and session feedback.

(3) Data requests that are part of congressional, higher HQ, stakeholders, or public inquiries.

(4) USMEPCOM Inspector General (MEIG) and MEJA inspections and investigations.

(5) USMEPCOM Safety and Security programs.

(6) MEDC-EO Climate Assessments.

Appendix C
Survey Development Guidelines

When preparing a survey, refer to these guidelines and those publications listed in Appendix A. Contact J-5/MEPT for consultation with development, administration, analysis, and reporting. J-5/MEPT has the survey background and analysis expertise to design a successful approach. The Action Officer must formulate a detailed plan to define the survey's objective, target population, data collection methods, life cycle, etc. Complete initial request procedures in Chapter 2 to begin survey design. Designing a survey is an art as well as a science; it takes a structured effort to collect useful, actionable information.

C-1. Survey Design

Surveys should enhance studies and improve policies and programs. Consider:

a. Begin each survey with an introduction or a cover letter to include detailed participant instructions. First impressions are lasting, and will increase respondent participation. Participants need to understand the survey's full intent, time frame for the survey, level of privacy, and if it is voluntary or mandatory. If voluntary, participants must know that refusal to participate will not yield negative consequences. Participants also want to know their responses are confidential and used only for the stated objective. Lastly, include an agency disclosure notice and a Privacy Act Statement. Refer to DoD 8910.1-M for more guidance.

b. Use the fewest questions needed to obtain required quantity and quality of information.

c. Categorize questions to ensure a simple, logical flow.

d. Determine demographics for data analysis. Ask only pertinent demographic information.

e. Put easy-to-answer questions, such as demographics, at the end of the survey. This allows participants to spend more time on content questions.

f. Allow extra space for comments after each question and/or at the end of the survey.

g. Check the spelling and grammar of the entire survey.

h. Pretest a survey using a representative pool of respondents to verify accuracy and understanding.

i. End with details of how data will be used. Follow with a sincere "thank you" for participating.

j. Deliver results as promised.

C-2. Methods of Data Collection

These techniques include participant contact and response methodology. Consider survey objective, population, and timeline to decide on the best method. Each has specific advantages and disadvantages:

Table C-1. Methods of Data Collection Advantages and Disadvantages

Online/web-based: Administer survey through email or website link.	
ADVANTAGES	**DISADVANTAGES**
Data automated for easier analysis	Need computer-savvy target population
Fast administration time	Need hardware and software
High response rates	Participant concern regarding confidentiality
Mailed or Hand-Delivered Paper Copy: Mail hard copy of survey to a target population	
ADVANTAGES	**DISADVANTAGES**
Simple Process	Long administration times
Complete survey anywhere, anytime	May not remain anonymous
Familiar method	Manual data analysis
Telephone: Ask questions telephonically with a participant or participants.	
ADVANTAGES	**DISADVANTAGES**
Ask follow on questions/collect more data	Need experienced/trained interviewer
Clear up confusion of question	Potential high cost and work interruption
Short survey administration times	Not anonymous
Minimal cost	No thought into candidates answers.
Interviews/Focus Groups: Ask questions in-person with a participant or participants.	
ADVANTAGES	**DISADVANTAGES**
Ask follow-on questions/collect more data	Need experienced/trained interviewer
Clear up confusion of question	Participants may not express full opinion
Permit use of visual tools	Potential high cost and work interruptions

Table C-1. Methods of Data Collection Advantages and Disadvantages

C-3. Question Design

A quality survey poses questions in a variety of formats. Examples include: single-choice, multiple-choice, fill-in-the-blank, and essay questions. Use question types that generate appropriate information.

a. Develop concise, straight-forward questions and cover one subject per question.

b. Minimize questions with “no opinion” or “neither agree nor disagree” responses as participants tend to select easy responses to complete the survey.

c. Use consistent scales throughout the survey for multiple-choice questions.

d. Write in a neutral style; biased or judgmental wording will lead participants to a specific response.

e. Group questions into similar subsets with a heading to orient participants.

f. Consider the survey objective, participant sample, and analysis form when choosing question type:

Table C-2. Methods of Question Types Advantages and Disadvantages

Close-ended: Participants select from a list (i.e., single-choice/multiple-choice/table).	
ADVANTAGES	**DISADVANTAGES**
Concrete data	Limited choices
Efficient data analysis	
Open-ended: Participants respond in their own words (i.e., fill-in-blank or essay)	
ADVANTAGES	**DISADVANTAGES**
Capture participant's specific ideas	Complex data analysis
Collect demographic information	Misinterpretation of answers
Collect more complete information	Participants may forget items
Mixed: Assortment of close and open-ended questions.	
ADVANTAGES	**DISADVANTAGES**
Breaks up repetitiveness	Complex design
May help gather more complete data	Complex analysis
Flexibility	

Table C-2. Methods of Question Types Advantages and Disadvantages

C-4. Participant Anonymity

Assure a high level of participant confidentiality. Never expose participant identity during data analysis and reporting unless: planned in the study authorization documents and agreed by study participants; or required by law to protect the safety of participants, property, or security. Include a Privacy Act statement in the survey's introduction to help participants understand the protection level of their responses. (i.e., "Your responses to this survey will be held in strict confidence and will in no way be released.")

Appendix D
Internal Control Evaluation Checklist - Information Management and Human Subjects Protections.

D-1. Function
The functions covered by this checklist are information management and human subjects protections.

D-2. Purpose
The purpose of this checklist is to assist commanders, assessable unit managers, and subject matter experts in evaluating the key internal controls listed below. It is not intended to cover all controls.

D-3. Instructions
Answers must be based on actual testing of key management controls (document analysis, direct observation, sampling, simulation, etc.). Explain answers indicating deficiencies and take necessary corrective actions. Formally evaluate these controls at least once every year. Certify that evaluations have been accomplished by completing DA Form 11-2, Internal Control Evaluation Certification.

D-4. Test Questions

a. Are research activities involving human subjects identified within the USMEPCOM organization conducting or funding research?

YES NO REMARKS:

---

b. Is nonexempt research reviewed by an Institutional Review Board (IRB)?

YES NO REMARKS:

---

c. Is the membership of the IRB(s) or record consistent with requirements of 32 CFR 219?

YES NO REMARKS:

---

d. Is a procedure in place to ensure that IRB members are free of conflicts of interest?

YES NO REMARKS:

---

e. If informed consent cannot be waived under 32 CFR 219, is voluntary informed consent obtained from each subject or the subject's legal representative?

YES NO REMARKS:

---

f. Does the IRB of record determine the risk level of research protocols?

YES NO REMARKS:

---

g. Does the IRB review research to ensure that risks are minimized and are reasonable in relation to anticipated benefits?

YES NO REMARKS:

---

h. Are medical monitors appointed (or is such appointment expressly waived by the IRB) for greater-than-minimal-risk research?

YES NO REMARKS:

---

i. Is research approved at the appropriate Command level after IRB approval?

YES NO REMARKS:

---

j. Is research forwarded for second-level review, if appropriate?

YES NO REMARKS:

---

k. Are decisions by the IRB(s) of record to suspend or terminate research honored by the organization conducting or funding the research?

YES NO REMARKS:

---

l. Are investigators qualified to conduct research involving human subjects?

YES NO REMARKS:

---

m. Does the IRB ensure that investigators are free from conflicts of interest?

YES NO REMARKS:

---

n. Is a system in place to ensure appropriate storage and confidentiality of research records?

YES NO REMARKS:

---

o. Does the IRB of record ensure that research is in compliance with 10 USC 980, FDA regulations, and 45 Code of Federal Regulations (CFR) 46, Protection of Human Subjects, subparts B, C, D, and DoDI 3216.03?

YES NO REMARKS:

---

p. Does the IRB of record conduct continuing review of research in accordance with 32 CFR 219?

YES NO REMARKS:

---

q. Are data releases logged and have accompanying approvals?

YES NO REMARKS:

---

r. Do all surveys locally employed have a visible DoD or USMEPCOM Survey Control Number prominently displayed?

YES NO REMARKS:

---

s. Do research projects or activities have human subjects determinations; data sharing agreements or protocols, or project plans; and appropriate approvals?

YES NO REMARKS:

D-5. Comments
Submit comments on this inspection program through your Sector to HQ USMEPCOM, ATTN: J-5/MEPT, 2834 Green Bay Road, North Chicago, IL 60064-3091.

D-6. DA Form 11-2, Internal Control Evaluation Certification Statement. Use DA Form 11-2 to document internal control evaluations and retain under record number 11-2a3/800B "Management Control Evaluations/Inspections" (see Appendix A, Section III)

Appendix E
Glossary

Section I
Abbreviations

AAR
After Action Report

ADP
Automated Data Processing

AFARS
Army Federal Regulation Supplement

AFIT
Air Force Institute of Technology

AHRPO
U.S. Army Human Research Protection Office

AMSWG
Accession Medical Standards Working Group

AR
Army Regulation

ARI
Army Research Institute for the Behavioral and Social Sciences

Assurance
DoD Assurance for the Protection of Human Research Subjects

ASVAB
Armed Services Vocational Aptitude Battery

BI
Business Intelligence

BPM
Business Process Management

CFR
Code of Federal Regulations

COTR
Contracting Officer's Technical Representative

CPAC
Civilian Personnel Administration Center

DA
Department of the Army

DASD, MPP (AP)
Deputy Assistant Secretary of Defense, Military Personnel Policy (Accession Policy)

DFARS
Defense Acquisition Regulations Systems

DMDC
Defense Manpower Data Center

DoD
Department of Defense

DoDD
Department of Defense Directive

DoDI
Department of Defense Instruction

DTIC
Defense Technical Information Center

EA
Enterprise Architecture

EDO
Exempt Determination Official

ETL
Extract, Transform, and Load

FAR
Federal Acquisition Regulation

FOIA
Freedom of Information Act

FY
Fiscal Year

GSA
U.S. General Services Administration

HIPAA
Health Insurance Portability and Accountability Act

HPA
Human Protections Administrator

HPA/EDO
Human Protections Administrator/Exempt Determination Official

HQ
Headquarters

HQ USMEPCOM
Headquarters, United States Military Entrance Processing Command

HRPP
Human Research Protection Program

IAIR
Institutional Agreement for IRB Review

IO
Institutional Official

IPR
In-Progress Review

IRB
Institutional Review Board

IT
Information Technology

J-1/MEHR-CP
HQ USMEPCOM, J-1/Human Resources Directorate, Civilian Personnel Division

J-1/MEHR-PR
HQ USMEPCOM, J-1/Human Resources Directorate, Programs Division

J-3/MEOP
HQ USMEPCOM, J-3/Operations Directorate

J-4/MEFA
HQ USMEPCOM, J-4/Facilities and Acquisition Directorate

J-5/MEPT
HQ USMEPCOM, J-5/Strategic Planning and Transformation Directorate

J-6/MEIT
HQ USMEPCOM, J-6/Management Information Technology Directorate

J-7/MEMD
HQ USMEPCOM, J-7/Medical Plans and Policy Directorate

J-8/MERM
HQ USMEPCOM, J-8/Resource Management Directorate

JAMRS
Joint Advertising Market Research & Studies

MAPWG
Manpower Accessions Policy Working Group

MDD
Management Decision Document

MECS
HQ USMEPCOM, Command Surgeon

MEDC
HQ USMEPCOM, Chief of Staff/Deputy Commander

MEDC-PA
HQ USMEPCOM, Public Affairs Office

MEJA
HQ USMEPCOM, Staff Judge Advocate

MEPS
Military Entrance Processing Station

MOE
Measures of Effectiveness

NPS
Naval Postgraduate School

OLAP
Online Analytical Processing

OMB
Office of Management and Budget

OPLAN
Operations Plan

OSD
Office of the Secretary of Defense

OT&E
Operational Test & Evaluation

PA
Privacy Act

POC
Point of Contact

POM
Program Objective Memorandum

PSY
Professional Staff Year

R&D
Research and Development

RDT&E
Research, Development, Test, and Evaluation

RCS
Report Control Symbol

SASC
SAE Advisory Sub-Committee

SAE
Studies, Analyses, and Evaluations

SASC
SAE Advisory Sub-Committee

SMCO
Survey Management Control Officer

SMCP
Survey Management Control Program

SME
Subject Matter Expert

SOP
Standard Operating Procedure

SOW
Statement of Work

SPO
SAE Program Office

SPSC
SAE Planning Sub-Committee

SRCOM
Scientific Review Committee

SRCOR
Scientific Review Coordinator

TRADOC
U.S. Army Training and Doctrine Command

UBI
USMEPCOM Business Intelligence

UBIS
USMEPCOM Business Intelligence System

UMP
USMEPCOM Pamphlet

UMR
USMEPCOM Regulation

USC
United States Code

USD(P&R)
Under Secretary of Defense for Personnel and Readiness

USMA
United States Military Academy

USMEPCOM
United States Military Entrance Processing Command

USMIRS
USMEPCOM Integrated Resource System

WHS
Washington Headquarters Services

WUIS
Work Unit Information System

Section II
Terms

Analysis
A broad category of study and investigation which includes support to operational, tactical, and strategic decision-making. Used in the context of this regulation, analysis refers to the situation when the researcher knows the information is available, but it requires statistical manipulation or other scientific investigative techniques to extract relevant conclusions from the data.

Business Intelligence
USMEPCOM has utilized Business Intelligence (BI) in varying forms since the early 1990s. BI from that era was internally developed using unconventional programming techniques under the title Quantitative Information Comparison. Modernization took place in the early 2000s using a commercial off the shelf BI software platform, Cognos. Documents and institutional knowledge concerning this BI modernization effort and subsequent enhancements inconsistently use the acronyms QuIC-R and QuICR to denote: Quality Information Center Reporter, Quantitative Information Comparison Replacement, Quantitative Information Comparison Redesign, Qualitative Information Comparison Redesign, and Quality Information Center - Enterprise Reporter.

Operational Analysis
An internal designation by USMEPCOM that an activity does not, by definition, constitute research or human subject research.

Research
All effort directed toward increased knowledge of natural phenomena and environment and toward the solution of problems in all fields of science. This includes basic and applied research.

Statement of Work (SOW)
Work to be performed under a contract. The SOW is:

a. Prepared by the sponsor of a proposed study contract.

b. Coordinated through appropriate agency approval channels.

c. Provided to the contracting officer representative who, in turn, forwards it to the contracting officer for use in preparing the solicitation and resultant study contract.

Studies, analyses, and evaluations
Services that provide organized analytic assessments and evaluations in support of policy development, decision-making, management, or administration. Services include studies in support of R&D activities. Models, methodologies, and related software supporting studies, analyses, and evaluations are included. Examples include, but are not limited to, cost benefit or effectiveness analyses of concepts, plans, tactics, forces, systems, policies, personnel management methods and programs; studies specifying the application of information technology and other information resources to support mission and objectives; technology assessments and management and operations research studies in support of RDT&E objectives; evaluations

of foreign force and equipment capabilities, foreign threats, net assessments, and geopolitical subjects; analyses of material, personnel, logistics and management systems; and environmental impact statements.

Study
An organized analytic assessment used to understand or evaluate complex issues. Also used to improve policy development, decision-making, management, and administration. The acquisition, test, and evaluation of systems may be a study topic.

Study Manager
The individual assigned to manage the study effort for the study sponsor. Normally acts as the contracting officer's representative or COTR.

Study sponsor
The person who is responsible for a study. The study sponsor will validate the need for the study and provide management oversight of the study effort. In USMEPCOM, the study sponsor is the Commander, USMEPCOM.