



DEPARTMENT OF THE NAVY
HEADQUARTERS UNITED STATES MARINE CORPS
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WASHINGTON DC 20350-3000

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MSAB
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MARINE CORPS ORDER 5300.18

From: Commandant of the Marine Corps
To: Distribution List

Subj: MARINE CORPS SURVEY PROGRAM

Ref: (a) DoD Instruction 8910.10, "Information Collection and Reporting," May 19, 2014
(b) DoD Instruction 1100.13, "DoD Surveys," January 15, 2015
(c) MCO 3900.18
(d) SECNAV M-5214.1
(e) DoD Instruction 8550.01, "DoD Internet Services and Internet-Based Capabilities," September 11, 2012
(f) SECNAVINST 5720.42F
(g) SECNAVINST 5211.5E
(h) MCO 5214.2F
(i) MCO 5100.29B
(j) 5 U.S.C. 552a
(k) SECNAV M-5210.1
(l) OPNAVINST 3750.6S
(m) MARADMIN 316/13

Encl: (1) Procedures for Requesting Survey Approval
(2) Sample Survey Approval Request
(3) Tasks for Surveys Generated by Local Commands

1. Situation. Marine Corps surveys are a valuable means of collecting information from Marines, civilian employees, and family members about various aspects of Marine Corps service, equipment, and civilian employment. They provide data that enable leaders to make informed decisions, evaluate the impact of existing programs, and gather opinions in advance of new policies. Survey coordination and control is required to ensure Marine Corps surveys are technically sound, avoid duplication of effort, minimize impact on Marine operational tempo, and provide for Marine Corps survey life-cycle management.

2. Mission. The Marine Corps survey program will review, approve, and manage Marine Corps surveys in order to provide the Marine Corps maximum benefits at the lowest possible cost and with the least disruption to operational tempo.

3. Execution

a. Commander's Intent and Concept of Operations

(1) Commander's Intent

(a) All surveys solicited in an official capacity will be developed and implemented in a manner that allows for maximum analysis

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while minimizing the exposure of individual Marines, their families, and civilian employees to unwarranted solicitation. This Order establishes a process where each Headquarters Marine Corps (HQMC) sponsored survey is coordinated and licensed.

(b) This Order gives local commanders the authority to conduct surveys as directed by General Officer/Senior Executive Service (SES)-level sponsors or their designees and in accordance with reference (a). While this Order gives local commanders the authority to conduct such surveys and are not required to obtain survey approval via the Marine Corps Survey Program Manager, the sponsor/executing activities must follow the survey sponsor task procedures outlined in enclosure (3).

(1) Concept of Operations

(a) Applicability. HQMC Department and Division Offices considering the use of surveys must receive approval from the Marine Corps Survey Program Manager and supervise the development and execution of surveys that are approved. HQMC Departments and Division Offices sponsoring the survey must approve the content of the survey, ensure that the data collected is used only for its intended purpose that has been published in the Privacy Act Statement, and provide safeguards to protect personally identifiable information (PII).

1. This Order applies to all surveys sponsored by HQMC, including Deputy Commandants and Directors, specifically intended to use active-duty or reserve Marines, their family members, or Marine Corps civilian personnel as subjects. This Order does not apply to surveys addressed to military-affiliated personnel in their capacity as individual private citizens (e.g., commercial customer service surveys, political polling).

2. Surveys that include military members of other Department of Defense (DoD) components, or include members of more than one DoD component (e.g., Marine Corps and Army personnel) are reviewed by the Defense Manpower Data Center (DMDC) following DoD survey approval procedures in references (a) and (b).

3. Surveys of active duty family members, retirees and their family members, separated Service members and their family, government contractors, and members of the general public require Office of Management and Budget (OMB) approval. Surveys of separated Marines and Marine retirees, spouses and family members of Marines will be considered for approval only if they relate to existing or proposed military issues, programs or policies. As members of the general public, surveys of these groups require OMB approval per references (a) and (h). Surveys of survivors of Marines may be approved under this Order if the topic relates to survivor benefits or other areas relevant to Marine Corps or military programs and policies.

4. Exemptions to this Order are discussed in paragraph 5.(a)(1) of this Order.

(b) Actions for Obtaining Survey Approval. Only surveys endorsed by General Officer/SES-level or above will be considered for Marine Corps-wide survey approval.

1. In accordance with enclosure 2, paragraph 4 of reference (a), upon consideration of data requirements and prior to survey development, survey sponsors or performing/executing activities will contact the Marine Corps Survey Program Manager to:

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

b. Request previously used survey items from Marine Corps, DON, and DoD surveys.

c. Collaborate with the organization Privacy Act Coordinator Point of Contact (PA POC) to approve surveys that collect PII and determine safeguards for managing PII collected.

2. Once the performing activity has the appropriate sponsor endorsement and upon completion of survey design and development, the survey sponsor will forward an endorsed electronic copy of the material described in enclosures (1) and (2) to the Marine Corps Survey Approval Manager for review and approval. The survey approval request must include NAVMC 11216, Request for Approval of a Marine Corps Reporting Requirement and NAVMC 11217, Summary for Estimates of Reporting Hours, which are found at Navy Forms On-Line (NFOL), <https://navalforms.documentservices.dla.mil>.

3. The Marine Corps Survey Program Manager will review the request for approval relative to the criteria described in enclosures (1) and (2) and determine if sponsor requirements justify execution of the proposed survey.

4. The Marine Corps Survey Program Manager ensures that proper Institutional Review Board (IRB) approval is sought and secured consistent with reference (c).

5. Prior to approval, the Marine Corps Survey Program Manager may request written technical reviews of the survey from survey subject matter experts at Marine Corps research organizations or Marine Corps-affiliated research organizations (e.g., Operations Analysis Division (Combat Development and Integration Department), Naval Postgraduate School). These technical reviews of the survey will be integrated with the overall review of the application and provided to the applicant.

6. The applicant should respond to the review and comments in a point-by-point fashion, making changes requested or providing justification/explanation if certain revisions cannot be made. The Marine Corps Survey Program Manager will determine if the changes are acceptable and make a decision to approve the survey, seek further changes, or disapprove the survey application.

7. Upon approval of the survey, the Marine Corps Survey Program Manager will request a Report Control Symbol (RCS) from the Marine Corps Reports Program Manager, Administration and Resource Management Division (AR), Records, Reports and Directives Management Section (ARDB) and provide this symbol and expiration date to the survey sponsor or performing/executing activity. The RCS must be prominently displayed on the survey instrument.

c. Actions for Reporting Survey Results

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

2. The performing activity shall provide the Marine Corps Survey Program Manager with a copy of the instrument used for the survey and the final report of survey results.

b. Subordinate Element Missions

(1) Manpower and Reserve Affairs (M&RA). Assistant Deputy Commandant (ADC M&RA), Manpower Studies and Analysis Branch (MSAB), or other designee shall appoint the Marine Corps Survey Program Manager.

(2) Marine Corps Survey Program Manager

(a) Provide coordination and control of all HQMC sponsored personnel surveys conducted within the Marine Corps by:

1. Identifying existing databases and archives to meet requested data requirements rather than conduct new personnel surveys.

2. Encouraging Marine activities to use recurring personnel surveys to the maximum extent possible rather than employ one-time survey efforts.

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

(b) Execute the responsibilities of surveys control manager per references (a) and (d).

(c) Identify items from the Marine Corps' survey item pool that may be used by performing activities in their studies.

(d) Provide technical guidance on survey development, administration, execution, and analysis.

(e) Identify surveys that may qualify as human-subject research and require applicants to obtain IRB review and approval for the survey in accordance with reference (c) and (g).

(f) Approve/disapprove requests to conduct HQMC-sponsored personnel surveys within the Marine Corps in accordance with the guidance in this Order and reference (a) and (g).

(g) Request a RCS from the Marine Corps Reports Program Manager for approved surveys.

(h) Maintain an electronic document library of all approved surveys and final reports.

(i) Maintain an electronic list of all approved, rejected, and extended Marine Corps surveys. This list will also include a brief summary of each survey.

(j) Coordinate and process all requests for Marines and civilians to participate in survey projects sponsored by DON, DoD, or other military, government departments, or agencies.

(k) Provide Marine Corps representation on the Inter-Service Survey Coordinating Committee (ISSCC). This committee monitors surveys directed by the DoD and military services. The Marine Corps Survey Program Manager will be the primary Marine Corps representative to the ISSCC and may designate an alternate member if necessary.

(l) Coordinate union notification for all surveys affecting civilian Marines with M&RA, Labor and Employee Relations Section (MPC-40). Surveys for bargaining unit employees may not be implemented prior to expiration of notification period or while any demand to bargain is pending.

(3) Director, Manpower Studies and Analysis Branch (MSAB)

(a) Ensure compliance with this Order. In cases of noncompliance, determine if the violation warrants the cessation of the project and/or surrender data already collected. Additionally, determine if remedial action such as a letter or notification to the survey sponsor, appropriate commanding officer/officer in charge, or others in the chain of command is appropriate. Violators of this policy may temporarily lose the privilege of administering Marine Corps surveys.

(b) Process appeals packages. In cases where an applicant is dissatisfied with a decision made by the Marine Corps Survey Program Manager an appeals package should be submitted to M&RA (MSAB). MSAB will process the package and submit to the ADC M&RA for consideration. MSAB will notify the applicant of the ADC M&RA's decision.

(4) HQMC Survey Sponsors

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

(b) Per reference (b), analyze the cost/benefit of the survey, weighing not only the cost to collect the data, but also the impact on the operational tempo of the Marine Corps. Due to the cost burden of completing surveys, those surveys, which are intended solely for use by students to complete an educational requirement (e.g., Masters Degree thesis for graduate program), will not be approved without sponsorship by a General Officer/SES-level sponsor or suitable designate whose mission is supported by the proposed survey effort.

(c) Approve the survey content, use data collected in accordance with its published intended purpose, safeguard and protect PII, and complete interrelated processes related to collection and management of PII (i.e., Systems of Records Notice, SORN, and Reports Control Symbol, RCS).

(d) Generate and promulgate a project communication plan whereby study results will be publicized to survey respondents and Marine Corps customers.

(e) Provide endorsement to conduct the survey to the Marine Corps Survey Program Manager, as outlined in enclosures (1) and (2).

(f) Ensure performing or executing activities are responsible for the technical quality of survey design, administration, and analysis of survey results. Tasks include:

1. Contact the Marine Corps Survey Program Manager prior to survey development.

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

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

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

5. Obtain IRB approval for the survey in cases where the project involves Human Subjects Research as defined by reference (c). They will document that the data collection effort has been reviewed and approved by an IRB or has been determined to be exempt from such review by the appropriate IRB authority. This must be included in the letter requesting survey approval. This documentation includes the protocol or study number and effective date.

6. Submit to the Marine Corps Survey Program Manager a request for survey approval per enclosures (1) and (2), completed NAVMC 11216 and NAVMC 11217 forms, sponsor letter(s) of endorsement (an example is provided in enclosure (2)), and the final draft of the survey instrument.

8. In the case of Internet-based surveys, ensure the data collection effort is in accordance with policy directed in references (e) and (g). Specifically, web-based surveys will not be accessible to the general public. Surveys that are hosted on publicly accessible Internet sites, including DON web sites and DON-contracted websites, shall require filtration or protection, a Privacy Act Statement per reference (g), and may include an RCS per references (a) and (h). PII protection must be outlined in a System of Records Notice (SORN) published in the Federal Register. This requirement can be met by password protection for access to the survey. Alternatively, web-based surveys may be conducted on Marine Corps Internet sites (e.g. M&RA servers) that are password protected or PKI or approved DoD credential (such as DSLogon). This policy applies to all Marine Corps web surveys regardless of whether they require Marine Corps survey approval or are exempt.

9. Provide In-progress reviews (IPR) and final report/briefing of the survey results to the Marine Corps Survey Program Manager.

10. Request approval in the event that a performing activity requires more time to complete a survey project beyond the expiration date of the original RCS. It must be sent to the Marine Corps Survey Program Manager detailing the request and providing a rationale for the extension. The Marine Corps Survey Program Manager will then coordinate a renewal of the RCS with the Marine Corps Reports Program Manager.

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

(5) Survey Recipients

(a) Review the Privacy Act Statement on the survey to determine its purpose and intended use of data collected.

(b) Contact the Marine Corps Survey Program Manager if they suspect they are being asked to take an unauthorized survey.

(c) Not reply to personnel surveys that involve disclosure of classified information unless the required Secretary of Defense approval is obtained. Replies to non-approved surveys that request information derived from performance of official duties when that information is not generally made available to the public are prohibited.

(d) Understand that the Marine Corps Survey Program Manager and survey sponsors cannot provide confidentiality to a participant regarding comments involving criminal activity, or statements that pose a threat to their self or others per reference (g) DoD Blanket Routine Uses.

4. Administration and Logistics

a. Non-Governmental Sources. Non-governmental sources (e.g., extramural performers such as educational or other private institutions) that desire participation of Marine Corps personnel or assistance in survey projects will be subject to the provisions of this paragraph. Approval will be based on:

(1) An identified Marine Corps interest in the projected results of the survey as evidenced by a General Officer/SES-level or above sponsor.

(2) The protection of all who are surveyed from unwarranted invasions of privacy.

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

(4) Compatibility with the provisions of this Order.

(5) The amount of impact that administering the survey may have on the missions of the Marine Corps activities involved. Commanding officers at the highest level involved must give consent for their

Marines to participate (e.g., if a regimental commander gives consent for his or her Marines to participate, the battalion commanders do not need to give additional consent).

b. Individual Rights and Safeguards

(1) Voluntary Participation. Participation in Marine Corps personnel surveys is voluntary. This applies to both approved Marine Corps-wide personnel surveys and to exempt surveys including those administered at the base/command level. Refusal to participate in a personnel survey shall not result in adverse impact on any member.

(2) Confidentiality. The survey sponsor is ultimately responsible for safeguarding individual rights to personal privacy and confidentiality. Performers will have surveys reviewed for human-subject protections in accordance with references (c) and (h). In all cases, the confidentiality of the individual responses shall be ensured and access to individual survey responses shall be restricted to those analyzing the results. Responses provided by individuals will generally be statistically summarized with the responses of others and not be attributable to any single individual. It is inappropriate to break out survey results for subgroups with five or fewer respondents. The survey sponsor cannot provide confidentiality to participants regarding comments involving criminal activity, or statements that pose a threat to themselves or others per reference (g) DoD Blanket Routine Uses.

(3) Freedom of Information Act (FOIA). If a FOIA request is received for a specific individual member's response to an approved Marine Corps survey, exemption (b)(6) of (5 U.S.C. 552(b)(6)) should be considered as it may constitute a clearly unwarranted invasion of personal privacy, per reference (f) and (g). In those cases where a requester is seeking copies of all/some responses to a survey, exemption (b)(2) may apply per reference (f).

(4) Privacy Act Statement (PAS)

(a) Personnel surveys usually involve personal attitudes, perceptions, and beliefs. Divulging an individual's survey response could cause harm or embarrassment to the individual. Survey sponsors and performing activities have joint responsibility to comply with reference (g) in protecting the right to privacy of individual Marine Corps personnel and others. When surveys request an individual to furnish PII (name, date of birth, social security number, etc.) for a system of records, regardless of the method used to collect the information (i.e., forms, personal or telephonic interview, etc.), and the information is maintained in a system of records per reference (g), and a Privacy Act Statement (PAS) is required on the survey. The statement shall identify the authority for survey administration (including RCS and expiration date, if applicable), advise respondents of the purpose and routine uses of the survey, indicate the survey is voluntary, explain the intended use(s) of the data, and describe measures used to safeguard confidentiality. For surveys deemed to be Human Subjects Research per reference (c), an IRB may also require informed consent language in conjunction with or in addition to the PAS.

(b) The generation, collection, or distribution of PII and management of privacy sensitive information shall be in accordance with the Privacy Act of 1974, as amended, per references (g) and (k). Any unauthorized review, use, disclosure, or distribution is prohibited.

(5) Records Management. Records created as a result of this Order shall be managed according to National Archives and Records Administration approved dispositions per reference (l) to ensure proper maintenance, use, accessibility and preservation, regardless of format or medium.

c. Definitions

(1) A survey is a systematic data collection, using personal or telephonic interviews or self-administered questionnaires, from a group of 10 or more people to gather information on what a larger population thinks about a subject as individuals or as representatives of organizations. The questionnaires or interview protocols typically contain identical questions that elicit attitudes, opinions, behavior, and related demographic, social, and economic data to be used for statistical compilations for research and/or policy assessment purposes. For the purposes of this Order, the terms "surveys" and "questionnaires" will be used interchangeably. "Polls" typically refer to personnel surveys that are brief and narrow in scope. Surveys and polls may be conducted via the Internet, postal mail, group or individual interviews, telephone inquiries, or other computer or electronic media (e.g., email, social media, online discussion groups, interactive programs, voicemail, text messaging, hand-held devices, etc.). Both surveys and polls shall require review, approval, licensing, and safeguards to protect data as specified by this Order.

(a) "Attitude," "opinion," "belief," and "fact-finding" surveys are personnel surveys that request self-reported information relevant to specific organizational missions, policies, or procedures. These surveys typically address such topics as organizational/command climate, job satisfaction, career development, retention intentions, diversity issues, quality of life and health issues, program needs assessment, and program evaluation. This type of survey will require an OMB control number if surveying members of the public, including retirees, separated Marines, and family members.

(b) "Occupational task" or "skills assessment" surveys are personnel surveys that inquire about discrete, technical, job-related tasks and competencies within a specified officer, enlisted or civilian community. These types of surveys address such factors as task duration, frequency, and importance. The amount of training, skill level, or experience required to perform job related tasks are also often found on these surveys. This type of survey generally does not require an OMB approval if PII is not collected from members of the public.

(c) "Recurring" surveys are personnel surveys that collect information from individuals on a continuing basis at specified intervals or milestones, such as annually, upon promotion, after a change of command, after completion of training, etc. The survey instrument must remain unchanged or include minimal changes (i.e., 90 percent of the items remain the same as the previous survey) throughout

the RCS expiration date to retain its definition as "recurring." Otherwise, it would be viewed as a separate survey effort.

(d) "Interviews" are defined as face-to-face discussions with individuals or groups, including focus group interviews, to obtain self-reported information that may be used to draw conclusions or arrive at generalizations about groups of individuals. A Privacy Act Statement (PAS) will be required for such activities.

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

(2) A Report Control Symbol (RCS) is the number assigned by the Marine Corps Reports Management Program Manager to a survey after it has been reviewed and approved for Marine Corps administration per reference (h). RCS numbers have associated expiration dates and are authorized for three years and can be renewed by the Marine Corps Reports Program Manager.

(3) A "survey sponsor" is a General/Flag Officer, SES appointee, or recognized leader who may benefit from or has a direct interest in the survey results. Surveys must directly support an identified Marine Corps mission of the sponsor. Sponsors may not necessarily fund survey projects, but they are always responsible for survey content.

(4) A "performing activity" is the organization that designs, develops, analyzes, and reports on an approved Marine Corps personnel survey. Marine Corps research organizations, selected headquarters offices, and Marine Corps contractors are examples of performing activities. Depending on the distribution of functions and tasks of a specific survey, there may be more than one performing activity. In such cases, one of the performing activities, normally a Marine Corps research organization, will be tasked with the lead responsibility to coordinate the survey.

(5) An "executing activity" is the organization or contractor tasked by a Marine Corps sponsor to coordinate the assembly, printing, mailing, data collection, and/or web design for an approved Marine Corps personnel survey when development and/or analyses are to be performed by another activity. The performing activity may also serve as the executing activity.

d. Point of Contact. The point of contact for information concerning surveys is the DC M&RA, (MSAB) Survey Program Manager. Contact numbers are: DSN 278-9369 and commercial (703) 784-9369.

5. Command and Signal

a. Command. This Order is applicable to the Marine Corps Total Force.

(1) Exemptions

(a) Exempted from provisions of this Order are Marine Corps training evaluation surveys (i.e., those that determine the effectiveness of a specific course among students who took the course), occupational task or skills assessment surveys, command-specific surveys conducted by bases or commands when executed entirely within the base or command (e.g., base or command Morale, Welfare and Recreation (MWR) surveys, etc.), and surveys that focus on the improvement of a specific process or a specific piece of equipment. Also exempt from this Order are surveys conducted by the Marine Corps Inspector General (MCIG) or other Marine Corps, DON, or DoD investigative agencies when the surveys are part of their recognized and official duties.

(b) Course and/or program evaluation surveys are exempt from the provisions of this Order provided the survey deals specifically with content provided in or the processes used to provide the course and/or program in question and the survey is conducted while the course and/or program is in session. Course and/or program impact evaluations are also exempt from the provisions of this Order provided such evaluations deal only with materials and events covered by the training received, are sent only to the students and supervisors, and are administered no more than 18 months following the course termination.

(c) Surveys required by statute or regulation in order to implement or execute a specific program (e.g., Voluntary Early Retirement Authority (VERA), Voluntary Separation Incentive Pay (VSIP), Program Needs Assessment Surveys) are exempt from the provisions of this Order. This includes aviation and ground safety surveys directed by reference (i) as well as the Commandant's Command Climate Survey directed by reference (m).

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

(e) Surveys sponsored from outside the HQMC Departments and Divisions.

(f) Marine Corps surveys exempt from approval under this Order must still conform to all basic requirements:

1. Participation in the survey must be voluntary.
2. Confidentiality of the individual responses must be ensured per reference (h).

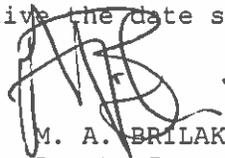
3. A Privacy Act Statement (PAS) is required and must be approved by ARSF-P at the HQ level or the Privacy Act Coordinator at the command level. The PAS is to be distributed to the individual who is interviewed or read to individuals for telephonic interviews.

4. IRB review shall be conducted to determine if the survey constitutes Human Subjects Research as defined by reference (c). Focus groups require review and approval per guidance from OMB and DoD. Focus groups and interviews for the purpose of development and pretest of survey questionnaires or for clarification of survey results can be reviewed and approved as part of the larger survey project.

5. Coordinate union notification for all surveys affecting civilian Marines with M&RA (MPC-40). Surveys for bargaining unit employees may not be implemented prior to expiration of notification period or while any demand to bargain is pending.

(2) Requests for exemptions not specifically listed above shall be made by memo to the Marine Corps Survey Program Manager. Approval by the Marine Corps Survey Program Manager will be required for surveys that do not fall into the above categories.

b. Signal. This Order is effective the date signed.



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Procedures for Requesting Survey Approval

1. Survey Request Package. In accordance with this Order, survey sponsors must submit the following documentation to the Marine Corps Survey Program Manager, Headquarters Marine Corps (MSAB), for survey approval:
 - a. Letter of Request.
 - b. Sponsor's Letter of Endorsement.
 - c. NAVMC 11216.
 - d. NAVMC 11217.
 - e. Final Draft of Survey Instrument including the Privacy Act Statement (PAS) approved by ARSF-P at the HQ level or the command Privacy Act Coordinator at other levels in the organization.
 - f. Letter from IRB demonstrating the survey has been reviewed.
2. Letter Requesting Survey Approval. Performing activities submit requests for survey approval to the Marine Corps Survey Program Manager. The request should outline the survey execution plan by addressing briefly (maximum of four pages) the following information:
 - a. Purpose. Explain why the survey is required and how the information will be used. Specify pending decisions and actions to be affected by survey results. Indicate what population results will be generalized.
 - b. Justification. Explain why a survey must be conducted instead of gathering information some other way. Mention any alternatives to a survey/questionnaire/interview that were considered.
 - c. Participation. Identify the sampling method (e.g., random, stratified, etc.) and the number of individuals needed for the survey sample and the targeted audience. Provide a breakdown of subgroups of interest, desired confidence level for results, and the rationale for subgroup comparisons. For recurring or longitudinal surveys, indicate the number of people to be surveyed for each administration. Indicate the date after which the survey will no longer be administered and responses to it no longer needed and the safeguards in place to protect PII or individual affiliation with the response.
 - d. Technical Development
 - (1) Identify the activity responsible for survey design, distribution, data collection, data analysis, and reporting. Identify the qualifications and organizational affiliation of the individual responsible for technical oversight of the survey (i.e., principal investigator, technical director, etc.).
 - (2) Provide an outline of the procedures, including all major steps.

(3) Describe the administration method and indicate the average time to complete the survey as reported in the NAVMC 11216 and NAVMC 11217 Forms, enclosed with the survey approval request package. If the project qualifies as Human Subjects Research, include documentation detailing IRB approval in accordance with reference (c) and (h).

e. Analyses. Describe statistical methodologies.

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

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

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

(3) Provide an estimate of when the results would be available for transmission to the Marine Corps Survey Program Manager to be kept on record.

g. Sponsor Point of Contact. Identify the sponsor point of contact by grade, name, command, commercial and DSN telephone numbers, fax number, and email address.

h. Performing Activity Point of Contact. Identify the performing activity point of contact by grade, name, command, commercial and DSN telephone numbers, fax number, and email address.

3. Sponsor's Letter(s) of Endorsement

a. A letter indicating survey sponsor endorsement signed by a General Officer/SES or approved designee. The letter can be transmitted electronically via email to the Marine Corps Survey Program Manager.

b. This letter is enclosure (1) to the letter requesting survey approval.

4. Request for Approval of Marine Corps Reporting Requirement (NAVMC 11216)

a. The Request for Approval of Marine Corps Reporting Requirement provides the purpose, need, and content of an information reporting requirement, and the data needed to facilitate reports control. NAVMC 11216 is required by reference (i).

b. The NAVMC 11216 Form will be submitted to the Marine Corps Reports Program Manager, via the Marine Corps Survey Program Manager, for review and approval. Upon approval of this report, the Marine Corps Reports Program Manager will assign a RCS, indicating the survey has been analyzed, the requirement for the survey is valid, and the survey sponsor has the responsibility for providing the requested information.

c. This form is enclosure (2) to the letter requesting survey approval.

d. Coordination may also be necessary with ARSF-P to ensure a System of Records Notice (SORN) accurately supports collection and management of the PII.

5. Summary for Estimates of Reporting Hours (NAVMC 11217)

a. The Summary for Estimates of Reporting Hours estimates the cost, in total burden hours, to complete all phases of survey execution. NAVMC 11217 is required by reference (i).

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

c. This form is enclosure (3) to the letter requesting survey approval.

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

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

b. The survey instrument with the Privacy Act Statement and/or IRB-approved Informed Consent prominently displayed. This statement describes the authority, purpose, and confidentiality of the survey data. It provides assurance that participation is entirely voluntary and must appear prominently on the approved survey instrument. Position the statement in such a manner that individuals from whom the information is being collected will be informed about the act before furnishing any information. For computer or web-based surveys, the Privacy Act Statement should also be clearly displayed at the beginning of the survey. See Figure 1-1 for a sample Privacy Act Statement.

c. The final draft survey is enclosure (4) to the letter requesting survey approval.

7. Institutional Review Board (IRB) Survey Approval Letter

a. A letter indicating that the data collection effort has been reviewed and approved by an IRB or has been determined to be exempt from such review by the appropriate IRB authority as described by reference (c).

b. In cases of IRB approval, documentation should include the protocol or study number and effective date.

c. The IRB approval letter, if required, is enclosure (5) to the letter requesting survey approval. An example of this letter is found in enclosure (2) of this Order. If the survey is found to be not Human Subject Research during the applicability review, the documentation received from the IRB may be used to fulfill this requirement.

PRIVACY ACT STATEMENT

In accordance with the Privacy Act of 1974 (Public Law 93-579), as amended, this notice informs you of the purpose for collection of information on this survey. Please read it before completing the survey.

AUTHORITY: 10 U.S.C. 5013; 10 U.S.C. 5041; 10 U.S.C. 1074f; 32 CFR 64.4; DoD Instruction 1215.13; DoD Instruction 3001.02; CJCSM 3150.13C; DoD Instruction 6490.03; SECNAVINST 1770.3D; MCO 7220.50B; and E.O. 9397 (SSN), as amended.

PRINCIPAL PURPOSE: The purpose of this survey is to collect information that will be used to report attitudes and perceptions about Marine Corps programs and policies. This information will assist in the formulation of policies that may be needed to improve the working environment. Reports will be provided to the Deputy Commandant for Manpower and Reserve Affairs. Findings may be used in reports to Congress, OSD, and the JCS. Findings may be published in journals or presented at conferences. The information collected on this survey will be filed within a Privacy Act Systems of Records collection governed by Privacy Act System of Records Notice M01040-3 which can be downloaded

<http://dpcl.d.defense.gov/Privacy/SORNsIndex/DODwideSORNArticleView/tabid/6797/Article/570625/m01040-3.aspx>

USES: Any release of information contained in this system of records outside of DoD will be compatible with the purposes for which the information is collected and maintained. The DoD Blanket Routine Uses may apply to this system of records.

DISCLOSURE: Providing information on this survey is voluntary. No tangible compensation will be given for participation in the survey. If you agree to participate, you are free to withdraw at any time without prejudice.

[NOTE: Each survey requires a previously approved Privacy Act Statement (PAS). The PAS is approved by ARSF-P at the HQ level and by the command Privacy Act Coordinator at local levels within the organization.]

Figure 1-1.--Sample Privacy Act Statement.

Sample Survey Approval Request

ORGANIZATION'S LETTERHEAD

5300.18
SER
[DATE]

From: Head, Manpower Plans, Programs and Budget Branch (MPP)
To: Marine Corps Survey Program Manager

Subj: REQUEST FOR APPROVAL OF THE ENLISTED RETENTION SURVEY

Ref: (a) MCO 5300.18

Encl: (1) Director, MP Division ltr 5300 Ser MP 53 of 2 Jan 09
(2) NAVMC 11216 (Request for Approval of Marine Corps Reporting Requirement)
(3) NAVMC 11217 (Summary for Estimates of Reporting Hours)
(4) Final Draft FY 2010 Enlisted Retention Survey
(5) IRB Survey Approval Letter

1. Per reference (a), request approval to conduct the Enlisted Retention Survey of Marine Corps personnel.

a. Purpose. The Director, Manpower Plans and Policy Division (MP), needs a means of determining what factors and incentives have the greatest influence on enlisted retention. There is also the need to assess the current attitudes and perceptions about Marine Corps service and the military way of life. MP Division will modify policy to maximize attainment of Marine Corps retention goals based upon reports of what was most influential in affecting enlisted retention decisions.

b. Justification. There are no existing databases or recent surveys that can provide the required information. The annually administered survey is the most cost-effective means for guiding retention policy. Enclosure (1) is Manpower and Policy Division's sponsor endorsement of the requested survey. Enclosures (2) and (3) estimates the manpower cost to complete this survey at 2,156 hours.

c. Participation. The survey, enclosure (4), will be administered to all active duty Marines who will make the "stay" or "leave" decision during FY 2010. The sampling methodology used in this survey will be a stratified, random sample of approximately 34,000 Marines. Key subgroups will be made by grade, YOS, gender, and reenlistment intent. Subgroup data from this survey will be compared to the same subgroup data that was collected in previous enlisted retention surveys. This survey occurs annually and involves approximately 34,000 Marines. This survey will be administered, and data collected, from 19 January to 31 March 2009. A 95 percent confidence level for results is desired.

d. Technical Development. The Manpower Studies and Analysis Branch (MSAB) is responsible for survey design, distribution, data collection, data analysis, and reporting for this survey. The principal investigator for the survey is Major I.M. Survey, the Marine Corps Survey Program Manager. Major Survey has a Masters of Science degree in Management and three years of experience in the field of

manpower systems analysis and survey development. Survey items were developed, when possible, using established items from the research literature and from previous enlisted retention surveys. The survey has undergone field testing on 50 enlisted Marines over a two month period, and the items have been revised after each administration. The average time to complete the survey is about 20 minutes. The survey has also been reviewed and approved by a Department of the Navy IRB. A final copy of the IRB report is enclosure (5).

e. Analyses

(1) MSAB will analyze data using SAS statistical software. Data will be maintained and archived in SAS data set files at MSAB. Overall retention policy effects will be tested using frequency and cross tabulations as well as logistic regression modeling.

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

f. Communications Plan

(1) As the performing activity, MSAB will provide feedback to the sponsor concerning the major findings from the study. This will be accomplished by a PowerPoint briefing to be completed within three months from the final day of data collection.

(2) MSAB will make the major results available to study participants via posting on the web and via a public affairs officer-written article.

(3) MSAB will transmit the results to the Marine Corps Survey Program Manager by 30 June 2014.

g. Sponsor Point of Contact. LtCol Survey Reviewer is the MP Division POC for this survey. He can be reached at commercial telephone number (703)784-9369, DSN 278-9369, Fax number (703)784-9812, or email survey.reviewer@usmc.mil.

h. Performing Activity Point of Contact. Major Enlisted R. Survey is the MSAB POC for this survey. He can be reached at commercial telephone number (703)784-9369, DSN 278-9369, Fax number (703)784-9812, or email enlisted.survey@usmc.mil.

I. M. COLONEL
Head, Manpower Plans, Policy
and Budget Branch

Enclosure (1) to Sample Survey Approval Request

Director, MP Division ltr 5300 Ser MP 53 of 2 Jan 09 Endorsement Letter

ORGANIZATION'S LETTERHEAD

5300
MP 53
[DATE]

From: Director, Manpower Plans and Policy Division, Manpower & Reserve
Affairs, Headquarters, U.S. Marine Corps
To: Marine Corps Survey Program Manager

Subj: ENDORSEMENT OF ENLISTED RETENTION SURVEY

Ref: (a) MCO 5300.18

1. Manpower Plans and Policy Division requires information on the factors and incentives that most influence enlisted retention. The survey proposed by the Manpower Studies and Analysis Branch (MSAB) is an effective means for gathering this information in support of the First Term and Subsequent Term Retention missions. I strongly urge approval of the proposed Enlisted Retention Survey.
2. I understand that this survey will require approximately 2,156 hours in Marine man-hours. I consider this to be a necessary and cost-effective investment in the Marine Corps' future.
3. The Performing Activity (MSAB) will report the results of the survey to the sponsor (Director, Manpower Plans and Policy Division) in the form of a Power Point briefing. In addition, the sponsor and/or the performing activity will provide information regarding major findings to the respondents and the Marine Corps in the form of a public affairs article or MARADMIN. A summary of the results and copies of relevant briefings/reports will be sent to the Marine Corps Survey Program Manager for inclusion in the Marine Corps-wide survey archives.
4. The sponsor will provide assistance as needed to promote and secure access to applicable survey respondents including command-to-command communication.
5. Per reference (a), the sponsor is responsible for approving survey item content and coordinating necessary requirements during the development of the survey.

I. M. DIRECTOR
Director, Manpower Plans and
Policy Division

Enclosure (2) to Sample Survey Approval Request

Sample NAVMC 11216

(Request for Approval of Marine Corps Reporting Requirement)

REQUEST FOR APPROVAL OF A MARINE CORPS REPORTING REQUIREMENT (5214)		RCS: DN-5214-02
NAVMC 11216 (REV. 6-02) SN: 0000-00-888-0580		
1. USMC REPORT CONTROL SYMBOL (RCS)	2. EXPIRATION DATE: (3 years from effective date of requiring directive) 1 Jan 2009	
3. REQUESTING OFFICE HQMC, M&RA (MPP-50)	CODE	4. REQUIRING USMC DIRECTIVE MCO 5300.1_
5. TITLE OF REPORTING REQUIREMENT FY10 Enlisted Retention Survey		6. FORMAT (MCEFS, Msg, ltr, form no., etc.) Electronic Mail
7. OTHER REQUIRING DIRECTIVES (DoD, SECNAV, etc.)		8. CATEGORY 3
9. TYPE OF REQUEST <input checked="" type="checkbox"/> NEW <input type="checkbox"/> REVISION <input type="checkbox"/> EXTENSION <input type="checkbox"/> WAIVER <input type="checkbox"/> PREVIOUSLY UNLICENSED	10. FREQUENCY OF SUBMISSION <input type="checkbox"/> BIENNIALY <input type="checkbox"/> WEEKLY <input checked="" type="checkbox"/> ANNUALLY <input type="checkbox"/> AS REQUIRED <input type="checkbox"/> SEMIANNUALLY <input type="checkbox"/> ONE TIME <input type="checkbox"/> QUARTERLY <input type="checkbox"/> OTHER _____ <input type="checkbox"/> MONTHLY	
	11. SUBMISSION DUE 1 Jul	
13. CANCELED OR MODIFIED REPORTS OR FORMS (List RCS and Form No.)		12. CATEGORY
14. HQMC, MCCDC, MARCORSYSCOM OFFICES REQUIRED TO SUBMIT HQMC, MPP-50		15. PRIVACY ACT <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
16. ACTIVITIES REQUIRED TO SUBMIT (Use Monitored Command Codes: MCO P1080.20) Marines with an End of Active Service date between 1 Oct 09 and 30 Sep 10.		
17. PURPOSE OF THIS REPORTING REQUIREMENT (Brief Narrative) This survey is being conducted to determine what factors and incentives have the greatest influence on enlisted retention. This survey will also assess the current attitudes and perceptions about Marine Corps service and the military way of life. The results of the survey will be used by HQMC, M&RA (MPP-50) to develop enlisted retention plans and policies.		
18. ACQUISITION OF SPECIALIZED EQUIPMENT TO SUPPORT THIS REPORT None		19. BURDEN HOURS (NAVMC FORM 11217) 2,156
20. INDIVIDUAL DATA ELEMENTS (If copy of form or format is available, attach a copy to this form and leave this section blank.) Survey instrument is attached.		
21. PAPERWORK CERTIFICATION: I HAVE THOROUGHLY REVIEWED THIS REPORTING REQUIREMENT AND HAVE COMPLIED WITH THE POLICY IN MCO 5214.2D		Enlisted R. Survey SIGNATURE 1 Jan 2009 DATE

Note: Official forms may be downloaded for use from Naval Forms Online at: <https://navalforms.documentservices.dla.mil/web/public/forms>

Enclosure (3) to Sample Survey Approval Request

Sample NAVMC 11217
(Summary for Estimates of Reporting Hours)

REQUEST FOR APPROVAL OF A MARINE CORPS REPORTING REQUIREMENT (5214)		RCS: DN-5214-02
NAVMC 11216 (REV. 6-02) SN: 0000-00-888-0560		
1. USMC REPORT CONTROL SYMBOL (RCS)		2. EXPIRATION DATE: (3 years from effective date of requiring directive) 1 Jan 2009
3. REQUESTING OFFICE CODE HQMC, M&RA (MPP-50)		4. REQUIRING USMC DIRECTIVE MCO 5300.1
5. TITLE OF REPORTING REQUIREMENT FY10 Enlisted Retention Survey		6. FORMAT (MCEFS, Msg, ltr, form no., etc.) Electronic Mail
7. OTHER REQUIRING DIRECTIVES (DoD, SECNAV, etc.)		8. CATEGORY 3
9. TYPE OF REQUEST <input checked="" type="checkbox"/> NEW <input type="checkbox"/> REVISION <input type="checkbox"/> EXTENSION <input type="checkbox"/> WAIVER <input type="checkbox"/> PREVIOUSLY UNLICENSED	10. FREQUENCY OF SUBMISSION <input type="checkbox"/> BIENNIALY <input type="checkbox"/> WEEKLY <input checked="" type="checkbox"/> ANNUALLY <input type="checkbox"/> AS REQUIRED <input type="checkbox"/> SEMIANNUALLY <input type="checkbox"/> ONE TIME <input type="checkbox"/> QUARTERLY <input type="checkbox"/> OTHER _____ <input type="checkbox"/> MONTHLY	11. SUBMISSION DUE 1 Jul
		12. CATEGORY
13. CANCELED OR MODIFIED REPORTS OR FORMS (List RCS and Form No.)	14. HQMC, MCCDC, MARCORSYSCOM OFFICES REQUIRED TO SUBMIT HQMC, MPP-50	15. PRIVACY ACT <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
16. ACTIVITIES REQUIRED TO SUBMIT (Use Monitored Command Codes: MCO P1080.20) Marines with an End of Active Service date between 1 Oct 09 and 30 Sep 10.		
17. PURPOSE OF THIS REPORTING REQUIREMENT (Brief Narrative) This survey is being conducted to determine what factors and incentives have the greatest influence on enlisted retention. This survey will also assess the current attitudes and perceptions about Marine Corps service and the military way of life. The results of the survey will be used by HQMC, M&RA (MPP-50) to develop enlisted retention plans and policies.		
18. ACQUISITION OF SPECIALIZED EQUIPMENT TO SUPPORT THIS REPORT None		19. BURDEN HOURS (NAVMC FORM 11217) 2,156
20. INDIVIDUAL DATA ELEMENTS (If copy of form or format is available, attach a copy to this form and leave this section blank.) Survey instrument is attached.		
21. PAPERWORK CERTIFICATION: I HAVE THOROUGHLY REVIEWED THIS REPORTING REQUIREMENT AND HAVE COMPLIED WITH THE POLICY IN MCO 5214.20		
Enlisted R. Survey Enlisted R. Survey SIGNATURE		1 Jan 2009 DATE

Note: Official forms may be downloaded for use from Naval Forms Online at: <https://navalforms.documentservices.dla.mil/web/public/forms>

Enclosure (4) to Sample Survey Approval Request

Sample Final Draft FY 2010 Enlisted Retention Survey

ENLISTED RETENTION SURVEY

PRIVACY ACT STATEMENT

AUTHORITY: 5 U.S.C. 301; 10 U.S.C. 5031 and 5032; MCO 5300.18; and Executive Order 9397. (License to administer this survey is granted per under USMC Report Control Symbol MC-1754-01-OT which expires 05/05/2011. Personal identifiers will be used to validate that respondents are active duty Marines with an End of Active Service (EAS) date during FY 2010.)

PURPOSE: The purpose of this survey is to collect information that will be used to report attitudes and perceptions about Marine Corps programs and policies. This information will assist in the formulation of policies that may be needed to improve the working environment. Reports will be provided to the Deputy Commandant for Manpower and Reserve Affairs. Findings may be used in reports and testimony provided to Congress, Office of the Secretary of Defense, and the Joint Chiefs of Staff. Findings may be published in professional journals or presented at conferences, symposia, and scientific meetings. Under no circumstances will the data be reported or used for identifiable individuals. The information provided in this survey will be analyzed by Integration and Analysis Section (MSAB), Manpower & Reserve Affairs, HQMC. The data files will be maintained by MSAB where they may be used for determining trends across fiscal year cohorts.

The information collected on this survey will be filed within a Privacy Act Systems of Records collection governed by Privacy Act System of Records Notice M01040-3 which can be downloaded <http://dpclld.defense.gov/Privacy/SORNSIndex/DODwideSORNArticleView/tabid/6797/Article/570625/m01040-3.aspx>

USES: Any release of information contained in this system of records outside of DoD will be compatible with the purposes for which the information is collected and maintained. The DoD Blanket Routine Uses may apply to this system of records.

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

DEMOGRAPHICS

1. What is your current pay grade?

- | | |
|--------------------------|-----|
| <input type="checkbox"/> | E-1 |
| <input type="checkbox"/> | E-2 |
| <input type="checkbox"/> | E-3 |
| <input type="checkbox"/> | E-4 |
| <input type="checkbox"/> | E-5 |

SATISFACTION

2. Overall, how satisfied are you with Marine Corps life?

- | | |
|--------------------------|------------------------------------|
| <input type="checkbox"/> | Very satisfied |
| <input type="checkbox"/> | Satisfied |
| <input type="checkbox"/> | Neither satisfied nor dissatisfied |
| <input type="checkbox"/> | Dissatisfied |
| <input type="checkbox"/> | Very dissatisfied |

RETENTION

3. How likely is it that you will choose to reenlist?

- | | |
|--------------------------|-----------------------------|
| <input type="checkbox"/> | Very likely |
| <input type="checkbox"/> | Likely |
| <input type="checkbox"/> | Neither likely nor unlikely |
| <input type="checkbox"/> | Unlikely |
| <input type="checkbox"/> | Very unlikely |

COMMENTS

4. If you have comments that you were not able to express in answering the survey, please enter them in the space below.

Enclosure (5) to Sample Survey Approval Request

Sample IRB Survey Approval Letter

ORGANIZATION'S LETTERHEAD

3900
MSAB
[Date]

From: Reviewing Institutional Review Board (IRB)
To: Survey Principal Investigator (PI)

Subj: APPROVAL OF ENLISTED RETENTION SURVEY

Ref: (a) SECNAVINST 3900.39D
(b) MCO 5300.18

1. In accordance with references (a) and (b), your human use research protocol, *Enlisted Retention Survey*, was reviewed by the IRB Chair and Vice-Chair and was recommended for approval on 3 Jan 2009. **The approval date of this protocol is the date of this letter.** Your protocol was determined to be no more than minimal risk and to meet Exemption criteria (category #2).

2. No changes or amendments may be made to the protocol or the informed consent document without prior written approval following Chair/Vice-Chair or IRB review. Further use of human research participants in this project is not permitted after this date without formal review and re-approval.

3. Please review references (a) and (b), which outline policies and procedures regarding Human Subject Research and explain your responsibilities as a research investigator. The following items are also particularly relevant:

a. PI and all associate investigators acknowledge and accept their responsibility for protecting the rights and welfare of human research subjects and for complying with all applicable provisions of this Assurance.

b. PI is responsible for reporting progress of approved research to the IRB Administrator as often as, and in the manner, prescribed by the approving IRB on the basis or risks to subjects.

c. PI will promptly report to the IRB any injuries or other unanticipated problems involving risks to subjects or others via an Adverse Event Report.

4. If you have any questions or require further information, contact the IRB Administrator at (703)784-9369.

5. Congratulations on your approval.

I.M. CHAIRMAN
Chairman, USMC Institutional
Review Board

Tasks for Surveys Generated by Local Commands

1. Commanders who wish to conduct surveys locally within their command or installation only, are not required to obtain survey approval via the Marine Corps Survey Program Manager.
2. However, the sponsor/executing activities must follow the survey sponsor task procedures outlined in the following paragraphs of this Order:
 - a. Paragraphs 1.a.(4)(b)(1)(c)
 - b. Paragraphs 3.c.(4)(a) through 3.c.(4)(d).
 - c. Paragraphs 3.c.(4)(f)(2) through 3.c.(4)(f)(5) with the exception of the last two sentences of (5).
 - d. Paragraph 3.c.(4)(f)(7).
 - e. Paragraph 3.c.(4)(f)(10).