

Survey Research
(Effective Until Rescinded or Superseded)

1. **PURPOSE.** To provide information on survey research procedures within the US Army Command and General Staff College (CGSC).
2. **APPLICABILITY.** This bulletin applies to all CGSC schools and directorates, and non-CGSC individuals/institutions requesting to use CGSC personnel in survey research.
3. **SCOPE.** Survey research includes these data gathering techniques:
 - a. Paper surveys/questionnaires
 - b. Web surveys/questionnaires
 - c. Focus groups
 - d. Telephonic surveys/interviews
 - e. Structured interviews conducted in person
 - f. Observations
3. **References.**
 - a. Code of Federal Regulations (45CFR46). 2001.
<http://www.hhs.gov/ohrp/humansubjects/guidance/45cfr46.htm> tm
 - b. "Belmont Report," 1979.
<http://www.hhs.gov/ohrp/humansubjects/guidance/belmont.h>
 - c. Department of Defense Instruction 1100.13, "Subject: Surveys of DoD Personnel", 21 November 1996
 - d. Army Regulation 600-46, "Attitude and Opinion Survey Program". Headquarters, Department of the Army, 01 November 1979

e. Army Regulation 70-25, "Use of Volunteers as Subjects for Research", 25 January 1990

f. HQ TRADOC Memorandum, subject: "Survey Policy Clarification" dated 1 November 2002

g. DoD Directive 3216.2, "Protection of Human Subjects and Adherence to Ethical Standards in DoD-Supported Research," 03/25/2002

4. INTRODUCTION.

a. CGSC routinely receives requests from individuals both internal to CGSC as well as outside of CGSC to conduct survey research involving personnel assigned to the college. These requests normally involve research in educational settings where subjects are asked to provide their perceptions, opinions, and/or attitudes involving normal educational practices such as education strategies, effectiveness of instruction, curricula, or classroom management methods.

b. Federal and Army regulations require all surveys conducted within CGSC to be reviewed and approved. Reference d above requires installations to appoint Personnel Survey Control Officers (PSCO) to manage and control requests to conduct attitude and opinion surveys. In CGSC, the Quality Assurance Office will manage and control all requests for survey research involving personnel assigned to the college. In this capacity, the QAO will:

(1) Coordinate all matters that pertain to surveys administered within CGSC.

(2) Monitor the administration of approved surveys to ensure compliance with regulations and instructions pertaining to each survey.

(3) Process survey requests originating both within and outside CGSC that includes using CGSC personnel in the research project.

(4) Protect the anonymity of survey respondents.

(5) Coordinate Institutional Review Board (IRB) research reviews and meetings.

(6) Assure administration of the Human Rights Protection Program.

c. Beyond the regulatory requirements of survey control, the QAO will also:

(1) Provide a quality check on the proposed research instrument and procedures.

(2) Insure students and faculty are not overloaded with research project requests.

(3) Balance the needs of the research community versus the needs of students and faculty within CGSC.

(4) Eliminate redundant and trivial research requests.

(5) Recommend approval/denial of the survey research request to the Dean of Academics for decision.

5. **EXEMPT.** It is not the intent of this bulletin to hinder processes such as After Action Reviews, peer and supervisor observations of students or faculty in the classroom. Therefore, these activities are not considered survey research and are not subject to the requirements of this bulletin.

6. **RISKS OF RESEARCH PROJECTS.**

a. It is the responsibility of both the researcher and CGSC to eliminate potential risks to our students, faculty, staff, and alumni that may be caused by research projects. Types of risks and examples include:

(1) Physical - risk of heart attack if project involves subjects working on a treadmill

(2) Social - disclosure of individual responses could lead to a loss of community standing

(3) Economic - disclosure of individual responses could result in loss of employment

(4) Psychological - survey questions remind subjects of traumatic or emotional events

(5) Legal - survey questions may be self-incriminating

b. Only survey research projects that pose minimal or no likelihood of risk to participants will be approved.

7. CONFIDENTIALITY.

a. Threats to confidentiality of survey research participants are a significant research risk. Many researchers gather some private information from participants that may include how an individual responded to questions, demographic information, education level, combat experience, etc.

b. Researchers must ensure confidentiality through such means as storing data in a locked cabinet in a secure location and using adequate computer security for electronic data. Additionally, data collected will be reported in a way that the identity of subjects is protected. In cases where the researcher feels identification of the subject(s) would make the research project/paper stronger, the researcher must obtain written permission from the subject(s) that authorizes the researcher to use his/her name in the researcher paper/project. If the research design does not contain a thorough plan for the protection of participant's confidentiality, the request will not be approved.

8. INFORMED CONSENT.

a. Participation in survey research should be completely voluntary and participants should receive adequate information about the research project to include the risks, benefits, what the research requires of them, and that their participation is voluntary. This information is normally contained in the cover letter that accompanies a survey questionnaire. In the case where the researcher conducts interviews, observations, or focus groups, the participants must be informed prior to the start of their participation in the project.

b. Researchers can obtain informed consent of the participants through either active or passive consent.

(1) Active consent uses an "informed consent" statement that is signed by the participant prior to participation. The statement identifies the purpose of the project, risks, benefits, what is required of the participant, and the fact that participation in the research project is voluntary. The active consent requires the participant to sign the consent form

stating that he/she has read and understands the information and is willing to participate in the research project.

(2) Passive consent is the most common method of obtaining informed consent for research projects that poses no likelihood of risk to the participants. Passive consent does not require a participant to sign a statement; however information on risks, benefits, requirements, and voluntary participation must be given to the participants prior to their participation in the project. A participant who has been informed and then decides to participate is considered as having given informed consent.

9. RESEARCH REQUEST PROCESS.

a. The CGSC Dean of Academics approves or disapproves research conducted within CGSC. The Dean's approval of a survey research project will be contingent on how well it satisfies the following set of standards:

(1) Importance: The information collected must have value to the Army and/or the DoD in some manner. Does the project provide useful information for academic planning purposes? Does it provide useful feedback to those providing services to students, alumni, staff, or faculty? Does the project help fulfill academic requirements?

(2) Dissemination and Use of Information Collected: Who will have access to the information collected and how will they use it?

(3) Content and Design of Project: Is the project well designed? Is the content appropriate? Does it follow sound methods and practices? Is it of appropriate length? Are questions easily understood and interpreted?

(4) Population and Sampling Methodology: The CGSC population to be surveyed provides a unique perspective that needs to be captured for the survey to yield its value. What is the target population? Is there a sampling strategy? What is the sampling methodology and is it sound? What strategies will be used to ensure adequate response rates? How will confidentiality of responses be ensured? That the CGSC population is a convenient group to survey is NOT sufficient reason to allow them to be used in any study.

(5) Respect for persons. Does the researcher ensure voluntary participation and presents adequate information about the risks and benefits? Will data collected be presented in a way that individuals can not be identified?

(6) Timing: If the project schedule conflicts with another approved project schedule, the requester may be required to adjust his/her schedule accordingly.

b. Individuals requesting to conduct survey research in CGSC will:

(1) Complete the Application for Survey Research (appendix A) and submit to the CGSC QAO. The application form can be found online at the CGSC website <http://www.cgsc.army.mil/>.

(2) Submit an electronic copy of the proposed survey research instrument to the CGSC QAO or provide QAO with a copy of the instrument.

(3) Complete Responsible Conduct of Research (RCR) education by either completion of A211 course or by completing the RCR course found at the Collaborative Institutional Training Initiative (CITI) website and submitting the completion certificate with the Application for Survey Research. <http://www.citiprogram.org/default.asp?language=english>

c. CGSC QAO will review the completed application along with the survey research instrument. Approved survey projects will be assigned a survey control number. QAO will notify the researcher that the project is approved and provide him/her with the survey control number (See Appendix C). NOTE: The CGSC QAO control number must be identified on the front cover of the survey instrument.

d. Requests that are denied will be returned to the requestor along with the reason(s) for the denial (See Appendix C).

e. At the conclusion of the survey project, the researcher must submit a copy of the "end of project data collection report" (appendix B) to the QAO. This report is available online at the CGSC website <http://www.cgsc.army.mil/>.

10. **SURVEY PROJECTS OUTSIDE OF CGSC.** Reference F requires survey projects being sent from a center/school to individuals in non-TRADOC units/organizations (e.g., TOE/TDA/FORSCOM/USAREUR units)

must be approved by the Army Research Institute (ARI) and a Survey Control Number assigned and displayed on the front cover of the survey project. Individuals needing to conduct surveys outside of CGSC must coordinate with the CGSC QAO for information on how to obtain ARI approval.

11. **PROPONENT.** Questions, comments, or recommended changes to this bulletin should be submitted to Academic Operations, U.S. Army Command and General Staff College, Lewis & Clark Center, RM 2538, (913)684-4566.



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