



DEPARTMENT OF THE NAVY
UNITED STATES NAVAL ACADEMY
121 BLAKE ROAD
ANNAPOLIS MARYLAND 21402-1300

USNAINST 5420.36B
28/SUPE
11 Sep 2019

USNAINST 5420.36B

From: Superintendent, United States Naval Academy

Subj: ACADEMY EFFECTIVENESS BOARD

Ref: (a) DoD Instruction 1322.22
(b) OPNAVINST 5450.330B

Encl: (1) Academy Effectiveness Board Membership and Charter

1. Purpose. To promulgate the responsibilities and duties of the Academy Effectiveness Board (AEB).
2. Cancellation. This instruction supersedes USNAINST 5420.36A.
3. Background. Reference (a) directs all military service academies to conduct annual assessments of their respective institutions and associated preparatory schools. Reference (b) further directs the United States Naval Academy (USNA) Superintendent to establish a formal program of assessment regarding the Naval Academy's effectiveness in meeting its institutional mission and that the results of this program and the data on which it is based be made available to the Board of Visitors, CNO, DNS, and CNO (N1). Specific responsibility for monitoring the effectiveness of the Naval Academy's academic and professional programs is assigned to the AEB.
4. Action. The AEB is responsible for developing and maintaining an effective and robust USNA assessment process and for monitoring and reporting to the Superintendent and the Senior Leadership Team (SLT) the Academy's overall effectiveness in fulfilling its mission. Duties, roles, and responsibilities associated with USNA's effectiveness assessment shall be executed per enclosure (1).
5. Records Management
 - a. Records created as a result of this instruction, regardless of format or media, must be maintained and dispositioned for the standard subject identification codes (SSIC) 1000 through 13000 series per the records disposition schedules located on the Department of the Navy/Assistant for Administration (DON/AA), Directives and Records Management Division (DRMD) portal page at <https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/Records-and-Information-Management/Approved%20Record%20Schedules/Forms/AllItems.aspx>.

b. For questions concerning the management of records related to this instruction or the records disposition schedules, please contact the U.S. Naval Academy records manager or the DON/AA DRMD program office.

6. Review and Effective Date. The Executive Director of Strategy will review this instruction annually on the anniversary of its effective date to ensure applicability, currency, and consistency with Federal, DoD, SECNAV, and Navy policy and statutory authority using OPNAV 5215/40 Review of Instruction.

A handwritten signature in black ink that reads "Sean S. Buck". The signature is written in a cursive style with a large, stylized "S" and "B".

S. S. BUCK

ACADEMY EFFECTIVENESS BOARD MEMBERSHIP AND CHARTER

1. Purpose. The purpose of the AEB is to coordinate the development, maintenance, and execution of an effective USNA assessment process. The AEB will focus its efforts on assessing USNA's mission accomplishment and obligation to produce combat leaders of character. The institutional-wide focus requires the AEB to assess the Academy's current Strategic Plan and all three mission areas (mental, moral, and physical) as well as mission-supported functions related to the four-year leadership immersion program.

2. Function. The AEB reports directly to the Superintendent and SLT and should work closely with the respective leaders of the Academy's mission areas (Commandant, Academic Dean, and Athletic Director) and mission-support functions (including Admissions, Chief of Staff, Deputy for Finance, and Deputy for Information Technology Services). The AEB members shall:

a. Collaborate in planning and implementing effectiveness assessment within and among the Academy's three mission areas;

b. Provide models and support for the development and implementation of effectiveness assessment within the USNA mission-support functions;

c. Monitor the Academy-wide effectiveness assessment processes;

d. Advise the Superintendent and SLT on actions that may be taken as a result of the assessment process; and

e. Provide reports of results and decisions to appropriate constituencies including faculty, staff, and midshipmen.

3. Roles and Responsibilities

a. AEB. The members of the AEB should represent a cross-section of all areas of the Naval Academy program that directly or indirectly support the Naval Academy's mission and serve as liaisons between their respective organizations and the AEB. AEB membership includes:

(1) Core Members: Those members under whose cognizance assessments relating to the Naval Academy mission and associated programs and policies will be conducted. Core members include:

(a) Co-chairs. Represent their respective mission areas and serve as liaisons between the AEB and SLT/Superintendent. Accountable for all assessments conducted in areas under

their cognizance. Core members will also serve as liaisons between those assessment activities and the AEB for any activities that could impact other efforts outside their respective department or cost-center or have significant impact on the overall institutional assessment efforts. The Co-chairs include:

- Vice Academic Dean
- Deputy Commandant of Midshipmen
- Senior Associate Athletic Director

(b) Director, Institutional Research. Ensure that the work of the AEB is supported with valid, reliable, and timely data and the best professional practices of institutional effectiveness and assessment appropriate to the Naval Academy's mission.

(c) Assistant Dean for Planning and Assessment. Ensure that the work of the AEB is supported with valid, reliable, and timely data and the best professional practices of institutional effectiveness and assessment appropriate to the Naval Academy's mission. Act as the principal advisor to the AEB on matters relating to academic accreditation and associated assessment responsibilities. Academic accreditation is a critical element to the educational process inherent within the Naval Academy mission and reasonable efforts will be made to adhere to the guidance of accrediting agencies consistent with USNA's mission and directives of the Department of the Navy.

(d) Director, Candidate Guidance

(e) AEB Staff Director. Normally selected from USNA's Permanent Military Professor cohort, the Staff Director should work closely with AEB members, as well as with the Superintendent's staff, providing tactical and strategic support to ensure that the AEB fulfills its responsibilities in carrying out assigned assessment studies, preparing for AEB/SLT meetings, developing AEB annual reports; and other assignments as directed by the co-chairs.

(f) Executive Director for Strategy. Serve as the SLT's primary liaison with the AEB, providing guidance when necessary. Coordinate AEB/SLT meetings and briefings with the AEB Staff Director.

(2) Associate Members and Project Managers: Those members who serve on the Board in recognition of their responsibility as leaders of projects directly tasked to the AEB by the Superintendent. Associate Members may be added to or deleted from the Board by the co-chairs with the addition or completion of AEB-administered assessments.

(3) Support Personnel: Personnel on call to assist the Board in their respective areas of expertise. AEB support personnel include, but are not limited to:

- Director, Naval Academy Business Services Division
- Senior Marine Representative
- Command Evaluation Officer
- Chair, Faculty Senate Assessment Committee
- Director, Human Resource Division

b. SLT. Meet at least annually with the AEB to receive AEB updates and provide guidance and direction to the AEB on follow-on and future studies. Provide recommendations to the Superintendent regarding any desired actions.

4. Principles of Institutional Assessment. The continuous improvement of the quality and effectiveness of any institution is best accomplished through institutional assessment. This includes systematic processes undertaken with the support and collaboration of administration, faculty, and other key stakeholders; to measure and evaluate intended mission outcomes; coupled with feedback of results and decisions to stakeholders and constituents; resulting in appropriate adjustments to programs, planning, and resource allocation. In order to facilitate USNA's assessment process, the AEB and SLT must be committed to:

a. Completing full-cycles of assessment. The assessment process is not complete until measurements of effectiveness are considered by the SLT, discussions of options with appropriate stakeholders take place, and decisions are made and implemented as appropriate. Following implementation, assessment continues with determining the effectiveness of changes.

b. The iterative nature of assessment. Institutional assessment is an iterative process requiring sustained energy and attention as the cycle repeats itself with necessary adjustments and monitoring before effectiveness is ascertained.

c. Transparency of AEB/SLT activities. Communication of the activities and results of AEB activities and the SLT's direction, guidance, and decisions to the USNA constituents including but not limited to staff, faculty, and midshipmen is essential.

5. AEB Continuous Improvement Processes

a. Assessment Planning. The AEB co-chairs will annually submit recommendations for the next year's major assessment efforts to the Superintendent.

b. SLT/AEB Annual Meetings. The SLT and AEB will meet at least annually to engage in substantive discussions stemming from AEB activities, including reports on and discussions relating to AEB taskings, consideration of recommendations, and joint SLT/AEB development of future AEB taskings. Agendas for annual meetings will be developed and coordinated well in advance by the AEB Co-chairs and Executive Director for Strategy. Read-ahead materials will

be provided to SLT members prior to annual meetings. The AEB Staff Director will coordinate details with the Executive Director for Strategy, on behalf of the AEB.

c. AEB Meetings. The AEB is responsible for maintaining momentum with the Naval Academy assessment process and maintaining its overall effectiveness. The AEB will meet as frequently as necessary, normally once each month. The AEB co-chairs should prepare the agenda and present the matters under consideration to the AEB. Any board member may recommend items for inclusion on the agenda. The agenda will be approved by the co-chairs and distributed as far in advance as possible prior to the meeting to permit members an opportunity to review the materials, gain an understanding of the subject matter, and facilitate substantive meeting discussions. Under the direction of the AEB co-chairs, the Staff Director will coordinate and support these meetings.

d. Responding to Data Requests. USNA is frequently tasked by Navy leadership to provide data or other information relating to impacts on Navy readiness, policies, or operations. The AEB, as assigned by the SLT, may be tasked to develop responses for Navy-wide assessments.

e. Assessment Reporting

(1) Status reports of newly assigned and ongoing AEB level assessments will be provided on a routine basis. As appropriate, the AEB will advise the SLT with regard to ongoing assessments in order for the SLT to determine appropriate actions and those responsible for implementation.

(2) The AEB will produce an annual Academy-wide institutional effectiveness assessment status report for the Superintendent and the SLT in guiding overall USNA improvement efforts. This report, as well as the latest status of all ongoing AEB level assessments, will be made available to stakeholders (including but not limited to faculty, staff, and midshipmen). Information determined to be sensitive may require redaction prior to release.