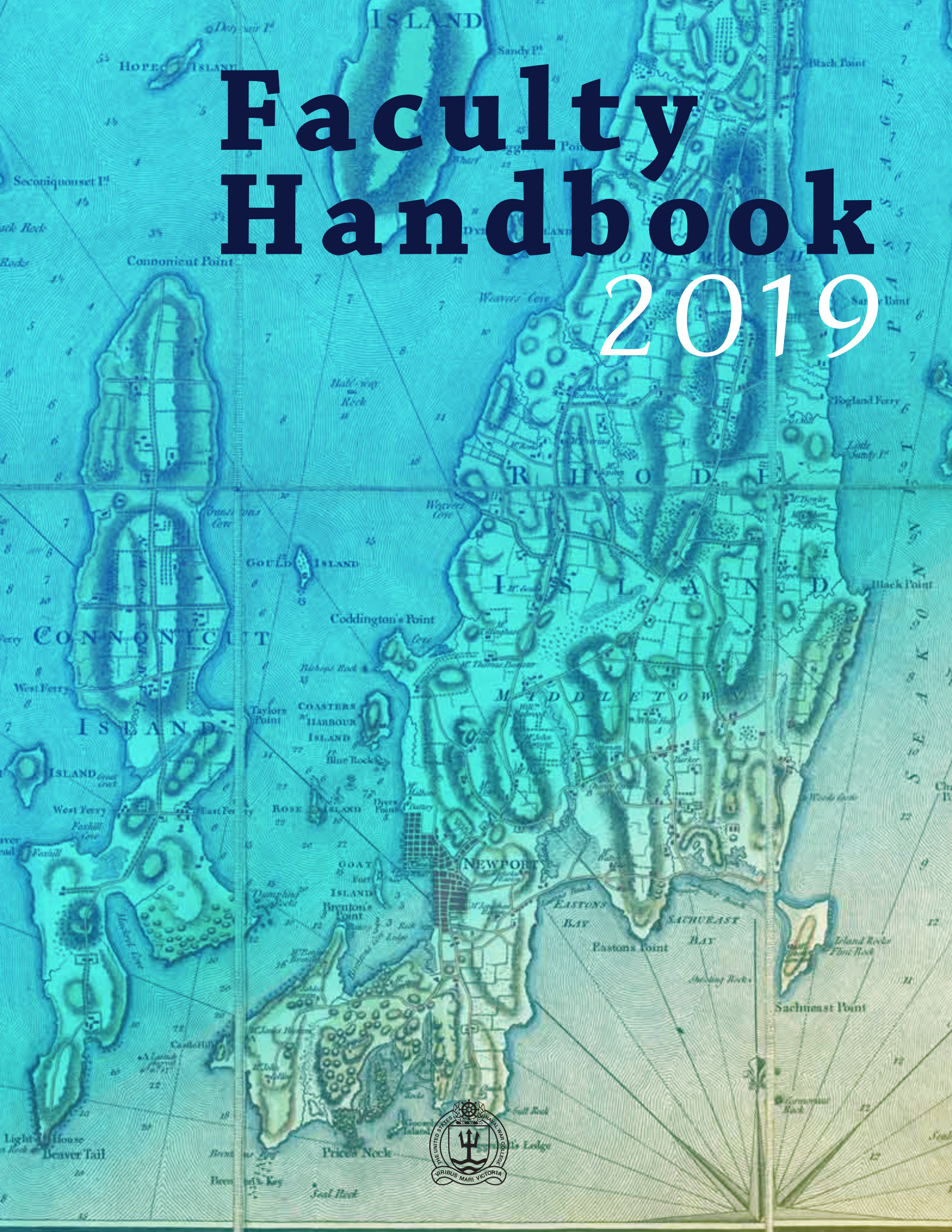
Faculty Handbook 2019



DEPARTMENT OF THE NAVY
U.S. NAVAL WAR COLLEGE
686 CUSHING RD
NEWPORT RHODE ISLAND 02841-1207

NAVWARCOLINST 12271.1
2025
19 July 2019

NAVWARCOLINST 12271.1

From: President, U.S. Naval War College

Subj: 2019 NWC FACULTY HANDBOOK

Encl: (1) 2019 Faculty Handbook

1. Purpose. To implement a Faculty Handbook which provides policy and guidance for all Faculty and staff assigned to the U.S. Naval War College (NWC).

2. Policy. All Faculty and Staff assigned to the NWC are required to review and follow the policies and guidance contained within Enclosure (1) of this instruction.

3. Records Management. Records created as a result of this instruction, regardless of media and format, must be managed per Secretary of the Navy Manual 5210.1 of January 2012.

4. Review and Effective Date. Per OPNAVINST 5215.17A, the NWC 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. This instruction will automatically expire seven years after its effective date unless reissued or canceled prior to the seven-year anniversary date, or an extension has been granted.

L. M. DUNCAN
Acting

The Naval War College's Strategic Tradition

"[The War College] is a place of original research on all questions relating to war and to statesmanship connected with war, or the prevention of war."

RADM STEPHEN B. LUCE, USN

Founding President, NWC

"Any new improvement in the College's courses of instruction must support the objective of the Naval War College, which is to enhance the capability of naval officers to make sound decisions in both command and management positions. This means developing your intellect, encouraging you to reason, to innovate, and to expand your capacity to solve complex military problems. To do this the College will emphasize intellectual development and academic excellence."

VADM STANSFIELD TURNER, USN

Convocation Address, 24 Aug 1972

FACULTY HANDBOOK

22 July 2019

The 2019 *Faculty Handbook* updates and entirely replaces the 2013 version.

RECORD OF CHANGES

CHANGE NUMBER	DATE ENTERED	NAME OF PERSON ENTERING CHANGE

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Change 2, 29 May 2015

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15 May 2015

APPENDIX IV

U.S. Naval War College Organizational Chart

CHAPTER I

ORGANIZATION AND GOVERNANCE

1. Introduction

a. <u>Mission.</u> The missions of the Naval War College (NWC) are to:

(1) Educate and Develop Future Leaders: NWC shall provide Professional Military Education (PME) programs supporting the Navy's Future Leader Development and Professional Military Education continua. The desired effect is to create leaders that are operationally and strategically minded critical thinkers proficient in Joint matters, and skilled Naval and Joint warfighters, prepared to meet the strategic and operational level of war challenges of today and tomorrow.

(2) Support Defining the Future Navy and Associated Roles and Missions: NWC shall conduct research, analysis, and gaming to support the requirements of the Secretary of the Navy, the CNO, the Combatant Commanders, the Navy Component Commanders, the Navy's numbered Fleet Commanders, and other departments and agencies of the U.S. Government. The desired effect is a program of focused, historically informed, forward-thinking, and timely research, analysis, and wargaming that anticipates future operational and strategic challenges while developing and assessing strategic and operational concepts to overcome those challenges.

(3) Support Combat Readiness: NWC shall conduct operational level of war activities to support the ability of the Navy's Joint and Combined Force Maritime Component Commanders and Navy Component Commanders to function effectively as operational commanders. This effort shall include supporting the needs of Joint Force Commanders, Navy Component Commanders, and the Navy's numbered Fleet Commanders to include education and support for Maritime Operations Center (MOC) processes, operational planning, analysis, assessment, and wargaming to respond to emerging operational requirements. The desired effect is to improve the capability of Navy commanders to lead maritime, Joint and Combined Forces, and their staffs to plan, execute, and assess force employment options in order to effectively function as an operational level maritime staff.

(4) Strengthen Global Maritime Partnerships: NWC shall bring together Flag, senior, and intermediate-level naval leaders from other countries to facilitate strong partnerships. This will promote an open exchange of views between international security professionals which encourages friendship and cooperation as well as building trust and confidence, while studying operational planning methods and common maritime security challenges. The desired effect is to maintain and further strengthen global maritime partnerships.

(5) Promote Leadership and Ethics Throughout the Force: NWC shall foster leader development across the Navy. These efforts also enable proactive leading-edge research, assessment, and analysis. The desired effect is a fully integrated and Fleet-executed Navy Leader Development Continuum that produces

leaders of character, prepared to lead effectively in the complex global security environment.

(6) Contribute Knowledge to Shape Effective Decisions: NWC shall support historical educational requirements through the John B. Hattendorf Center for Maritime Historical Research, also known as the Hattendorf Historical Center (HHC), which is the executive agent coordinating museum and archival operations. This is accomplished through the delivery of naval history electives, research papers, lectures, monographs, books, and other scholarly lines of communications. The HHC serves as the central coordinator and advisory subject matter authority for the preservation, display, and interpretation of historic buildings, naval historical displays, and related educational programming. The HHC works as the NWC executive agent in close collaboration with the Curator of the Navy and Director of Naval History and the Naval History and Heritage Command (NHHC) to ensure the successful delivery of relevant historical content in direct support of the higher educational mission of NWC.

(7) Provide Expertise and Advice to the International Legal Community: The Stockton Center for the Study of International Law provides original research, analysis, teaching, and engagement with the global international law community; contributes to the education and training of Navy leadership; and supports the conduct of Naval, Joint, interagency, and combined operations in accordance with international law. The Center is committed to the study and development of international law of the sea, the law of armed conflict, aerospace and cyberspace law, international organizations, human rights, and other aspects of international law affecting the equities of naval, Joint, interagency, and combined forces.

b. <u>Status and Command Relationships.</u> NWC is a shore activity in an active, fully-operational status under the command of a President who reports to the CNO for mission accomplishment, broad policy guidance, and governance. The Deputy Chief of Naval Operations for Manpower, Personnel, Training and Education (OPNAV N1) serves as NWC's resource sponsor and budget submitting office (BSO).

(1) Echelon

(a) Chief of Naval Operations

(b) President, U.S. Naval War College (PNWC), Newport, RI

(2) The Regional Coordinator is: Commander, Navy Region Mid-Atlantic, Norfolk, Virginia.

c. <u>Commanded, Tenant, Supported and Supporting Activities and Detachments</u>

(1) NWC hosts the following tenant activities:

(a) OFFICE OF NAVAL INTELLIGENCE DETACHMENT

<u>1.</u> Parent command is Office of Naval Intelligence, Washington, D.C.

2. Support provided is administrative, workspace and various other categories of assistance.

3. Support received is intelligence expertise for NWC's wargaming, research, warfare analysis, and advanced operational planning programs.

(b) NWC NAVAL RESERVE UNIT

1. Parent command is NWC.

2. Support provided is administrative workspace, and various other categories of assistance.

3. Support received is Reserve manpower.

(c) NAVAL WAR COLLEGE MUSEUM

1. Parent command for museum personnel is Naval History and Heritage Command (NHHC), Washington, D.C.

2. Parent command for the museum is NWC.

3. Support received is museum and curatorial services, to include the delivery of educational content, which is synthesized with the curriculum of the NWC in a broad variety of formats, to include the display, preservation, and interpretation of historical art, artifacts, and photos for exhibit at the NWC and in other appropriate venues.

(d) NAVY BAND NORTHEAST

1. Parent command is Fleet Band Activities, Millington, TN.

2. Support provided is exercise of operational command, administrative, workspace, and various categories of assistance.

3. Support received is band services.

(2) NWC receives base host support from:

(a) COMMANDING OFFICER, NAVAL STATION NEWPORT, RI

1. Parent command is Navy Region Mid-Atlantic, Norfolk, VA.

2. Support received is reimbursable and non-reimbursable common administrative and logistical support services.

(b) PRESIDENT, NAVAL POSTGRADUATE SCHOOL (NPS), MONTEREY, CA

1. Parent command is CNO, Washington, D.C.

2. Support received is non-reimbursable common administrative and logistical support services.

(c) COMMANDER, NAVY REGION MID-ATLANTIC

1. Parent command is Commander, Navy Installations Command, Washington, D.C.

2. Support received is non-reimbursable common administrative and logistical support services.

(d) NAVAL AND OTHER SERVICE COMMANDS LOCATED IN OFF-SITE INSTRUCTIONAL AREAS

1. Parent commands vary.

2. Support received is non-reimbursable common administrative, facilities maintenance and repair, and logistical support services.

d. Accreditation. Since 1884, the NWC has issued a certificate or a diploma to students who successfully complete the course of study.

(1) Phase I, Joint Professional Military Education. Since 1989, NWC programs have been accredited by the Chairman, Joint Chiefs of Staff (CJCS), to meet Phase I criteria for JPME. The Process for Accreditation of Joint Education (PAJE) involves a self-study and a peer review process during an on-site visit of the College of Naval Warfare (CNW), the College of Naval Command and Staff (CNCS), the College of Leadership and Ethics (CLE), and the College of Distance Education (CDE). Each is measured against standards and specific JPME learning areas and objectives. The governing instruction is CJCSI 1800.01 (series).

(2) Phase II, Joint Professional Military Education. Beginning with the November 2006 graduating class of the College of Naval Warfare, the JPME Phase II curriculum was instituted to educate military officers and interagency personnel in the College of Naval Warfare in joint, multinational, and interagency operational-level planning and warfighting; and to instill a primary commitment to joint, multinational, and interagency teamwork, attitudes, and perspectives. The goal of the JPME Phase II program at the NWC is to build on the foundation established by the institutions teaching JPME Phase I. In addition, the faculty and student interaction in the joint environment of the Phase II classroom fosters professional joint attitudes and perspectives essential to future successful military operations.

(3) Master of Arts Degree in National Security and Strategic Studies. In October 1990, Congress authorized the NWC to award a Master of Arts Degree in National Security and Strategic Studies to all qualifying students. This authority was grandfathered to graduates from 1985 and later. In March 1991, the New England Association of Schools and Colleges (NEASC) accredited the NWC as a graduate-level institution and its Master of Arts Degree in National Security and Strategic Studies. NEASC evaluates academic institutions against a set of eleven standards: Mission and Purposes, Planning and Evaluation, Organization and Governance, The Academic Program, Faculty, Students, Library and Other Information Resources, Physical and Technological Resources, Financial Resources, Public Disclosure, and

Integrity. In April of 2001, that authorization was extended to Fleet Seminar students through the College of Distance Education for students accepted into the Graduate Degree Program prior to July 2015. Since July of 2015, the Master of Arts Degree in National Security and Strategic Studies is awarded to all qualifying resident JPME students from the senior course of study. NEASC reaffirmed the College's accreditation in 2015 for a period of ten years. In July 2018, the U.S. Department of Education transferred federal recognition of NEASC's higher education accreditation authority to the New England Commission of Higher Education (NECHE).

(4) Master of Arts Degree in Defense and Strategic Studies. In July of 2015, in recognition of the bifurcation of JPME Phase I and JPME Phase II, the NWC began awarding a Master of Arts Degree in Defense and Strategic Studies to all qualifying students from the intermediate course of study. In April of 2015, NEASC accredited the NWC's Master of Arts Degree in Defense and Strategic Studies. Fleet Seminar students accepted into the Graduate Degree Program since July of 2015 are awarded the Master of Arts Degree in Defense and Strategic Studies. NEASC reaffirmed the College's accreditation in 2015 for a period of ten years.

(5) International Master of Arts Degree Program (IMAP). In July of 2017, the NWC began awarding a Master of Arts Degree on a voluntary basis for select international military officers attending either the Naval Command College or the Naval Staff College. Entrance qualifications are based upon a sufficient TOEFL score, satisfactory performance on a writing examination, and an interview with an admissions board (Dean of Academics, Dean, International Programs, Associate Provost).

(6) College of Maritime Operational Warfare Certificates. The College of Maritime Operational Warfare (CMOW) awards certificates for graduates of Maritime Staff Operators Course (MSOC), Maritime Operational Planners Course (MOPC), Executive Level Operational Level of War Course (ELOC), Combined Force Maritime Component Commander Course (CFMCC), Joint Force Maritime Component Commander Course (JFMCC) and Asia-Pacific Navy Planning Process International Course (APPIC). Additionally, a student who completes either MSOC or MOPC, enrolls in CDE Web-enabled Joint Maritime Operations (JMO) course, and successfully completes JMO Blocks 1, 2 and 3; will be awarded credit for JMO Blocks 4 & 5, thereby completing CDE JMO.

(7) International Programs Certificates. International Programs awards certificates for graduates in the following programs; International Maritime Staff Operator Course (IMSOC), International Introductory War Gaming Course (IWG(I)), International Advanced War Gaming Course (IWG(A)), Staff Course of the College of Maritime Governance, and the American Studies Program.

2. Administration and Organization

The responsibilities and authority of all key personnel at the NWC, from the PNWC, Provost, Associate Provost, the Vice President/Chief of Staff, Deans, Deputy Deans, Associate Deans, Assistant Deans, and Department Chairs/Directors, through Department Heads and faculty, are detailed in the Standard Organization and

Regulations Manual (NAVWARCOLINST 5400.1 series). Functional alignment and duties are comparable to those at a civilian institution, with some variations due to the military nature of the NWC. The senior leadership team of the NWC consists of the PNWC, the Provost, Deputy to the Provost, the Vice President/Chief of Staff, and Deans. Below this level there is an expanded management group, described below, that includes the Associate Provost, Deputy/Associate/Assistant Deans, Department Chairs, Directors, Department Heads, and Advisors to the PNWC.

a. President. The President of the Naval War College (PNWC) is accountable for all operations of the NWC and is responsible for curriculum and research activities that enhance the professional capabilities of its students to make sound decisions in command, staff and management positions in naval, joint, and multinational environments. The PNWC exercises oversight across all elements of the NWC, subject to policy guidance from the CNO. The PNWC holds regular meetings with appropriate members of the senior leadership team and expanded management group in which the philosophy, policies, and issues facing the NWC are discussed. The PNWC also maintains professional contact with military and civilian institutions of higher learning and research in the United States and around the world.

(1) Special Assistants. In addition to personal staff, the PNWC is advised by the Director of Communications Integration Strategy, the Staff Judge Advocate, the Chaplain, the Comptroller, the Equal Opportunity Officer, the Command Master Chief, the Director of Protocol, the Strategic Communications Director, the General Counsel, and the Command Career Counselor. For administrative purposes, the Comptroller and the senior Service advisors report to the PNWC via the Provost.

b. Provost. The Provost is the principal deputy to the PNWC and is responsible for the efficient accomplishment of missions and functions and effective employment of the faculty, academic staff, civilian personnel, and student body. The Provost acts as the chief executor for the PNWC and assumes the nonmilitary responsibilities of the PNWC in his absence. Subject to the orders of the PNWC, the Provost, as chief operating officer (COO), has overall responsibility for the effective functioning of the College by ensuring the mission, goals, and objectives of all components of the College are satisfactorily accomplished. The Provost, in coordination with the Dean of Academics, The Dean of the College of Distance Education, and the Dean of the College of Leadership and Ethics, is responsible for exercising effective oversight of and responsibility for periodic reaccreditation visits by representatives of the CJCS and NECHE. The Provost is also the Dean of Faculty. The Deans, Special Advisor from the State Department, and the Library Director are responsible to the Provost.

c. Vice President/Chief of Staff. The position of Vice President/Chief of Staff is a multi-role position. First, the Vice President/Chief of Staff, the second most senior military member of the College, serves as principal military advisor to the PNWC and, in the absence of the PNWC, serves as the commander. Next, the Vice President/Chief of Staff serves a traditional chief of staff role and is responsible for the smooth and efficient operation of the PNWC's personal staff and military and civilian staff on a day-to-day basis. Finally, the Vice President/Chief of Staff, in close coordination and alignment with the Deputy to the Provost/Director Mission Support,

is responsible to the PNWC for providing a variety of facilities, maintenance, and support services to the academic, research, leadership, international, and student components of the NWC.

d. Dean of Academics. The Dean of Academics, as the Chief Academic Officer of the NWC, is responsible for establishing and enforcing suitable policies for the College's resident U.S. and international JPME programs and associated programs that facilitate the accomplishment of the College's missions, functions, and tasks in the context of the needs of the leadership of the Navy. The Dean of Academics reports directly to the Provost. The Associate Dean of Academics, the Chairs of the core academic departments, and the Directors of the Maritime Advanced Warfighting School, the Advanced Strategist Program, and the Writing and Teaching Excellence Center are responsible to the Dean. Specifically the Dean of Academics is responsible for the following:

(1) Ensuring that policies are implemented to advance a set of resident U.S. and international academic programs that meet the standards of the CJCS Officer Professional Military Education Policy and NECHE.

(2) In collaboration with the Provost, assist in exercising effective oversight of and responsibility for periodic reaccreditation visits by representatives of the CJCS and NECHE.

(3) Overseeing and coordinating all JPME/MA academic matters, including course content, teaching methodology, and scheduling in the College's resident JPME programs.

(4) Overseeing the preparation of JPME/MA course syllabi for resident academic programs.

(5) Providing for a comprehensive and effective assessment and evaluation of JPME/MA programs and faculty and student performance within them.

(6) Exercising effective oversight of the JPME/MA Programs for Joint Education.

(7) Providing effective oversight and overall coordination of the military and academic chair holders' program, and the Regional Studies Groups.

(8) Overseeing the planning and execution of professional and academic outreach programs related to JPME/MA.

(9) Academic programs, curricula, policies, standards, teaching methodologies and scheduling of courses and programs outside of the Dean of Academics will be the responsibility of the Dean for that specific college.

(10) In consultation with the Provost, exercising control over adjunct faculty contracting, and full-time faculty recruitment, selection, hiring, assessment, and tenure and promotion processes for Dean of Academics faculty.

e. Dean of the College of Distance Education. The Dean of the College of Distance Education (CDE) is responsible for establishing suitable policies for the

College's non-resident JPME programs that will facilitate the accomplishment of the College's missions, functions, and tasks in the context of the needs of the leadership of the Navy and reports directly to the Provost. CDE academic department heads and program managers are responsible to the Dean. Specifically, the Dean of the College of Distance Education is responsible for the following:

(1) Ensuring that policies, and the means chosen to implement them, maintain and advance a set of non-resident U.S. academic programs that meet the standards of both the CJCS Officer Professional Military Education Policy (OPMEP) and NECHE.

(2) In close collaboration with the Provost, assisting in the exercise and effective oversight and responsibility for periodic reaccreditation visits by representatives of the CJCS and NECHE.

(3) Overseeing and coordinating all academic matters, including course content, teaching, delivery, and assessment methodologies for non-resident JPME courses.

(4) Leadership and management of the Navy's online Professional Military Education (PME) program.

(5) Overseeing the preparation of course syllabi for non-resident JPME programs.

(6) Providing for a comprehensive and effective assessment and evaluation of non-resident JPME programs as well as faculty and student performance within them.

(7) In consultation with the Provost, exercising control over adjunct faculty contracting, and full-time faculty recruitment, selection, hiring, assessment, and tenure and promotion processes for CDE faculty.

(8) Providing opportunity and resources for faculty development (FACDEV) for CDE faculty.

(9) Exercising control over financial and budgetary responsibilities for CDE in cooperation with the NWC Comptroller.

(10) Leading the NWC at Naval Postgraduate School Program (NWC-at-NPS partnership in JPME).

(11) Coordinating all NWC efforts in development of new concepts and technology related to JPME distance education.

(12) Providing oversight and management of academic support functions for the College, specifically contracting for the Learning Management System (LMS).

(13) Academic programs, curricula, policies, standards, teaching methodologies and scheduling of courses and programs outside of CDE will be the responsibility of the dean for that specific college.

f. <u>Dean of the College of Leadership and Ethics.</u> The Dean of the College of Leadership and Ethics (CLE) is responsible for leader development and ethics education across a range of organizations. CLE's resident function at the NWC is to provide graduate level education supporting PME and the Navy Leader Development Framework (NLDF) through the College's course of study in Leadership in the Profession of Arms (LPA). This PME program facilitates the accomplishment of the College's core missions, functions, and tasks that support the individual development of NWC students and Navy-wide leader development initiatives. Specifically, the Dean of the College of Leadership and Ethics is responsible for the following:

(1) Leadership and management of the Navy's leadership and ethics education.

(2) Overseeing and coordinating all of CLE's academic matters, including course content and teaching, delivery, and assessment methodologies for resident courses, exportable workshops, and seminars.

(3) Providing the CNO with a strategy for leader development beyond major commands through the design and implementation of Flag Officer development courses at the two- and three-star levels.

(4) Collaborating across the Navy's subordinate communities and schoolhouses to advance the NLDF.

(5) In consultation with the Provost, exercising control over adjunct faculty contracting, and full-time faculty recruitment, selection, hiring, assessment, and tenure and promotion processes for CLE faculty.

(6) Providing opportunity and resources for faculty development (FACDEV) for CLE faculty.

(7) Leading the Naval Postgraduate School Center for Executive Education (NPS CEE) in support of Flag Officer Leader Development

(8) Coordinating with the United States Naval Academy (USNA)-Stockdale Center

(9) Coordinating NWC efforts in individual leader and organizational development.

(10) Exercising control over financial and budgetary responsibilities for the College of Leadership and Ethics in cooperation with the NWC Comptroller.

(11) Coordinating with the Dean of Academics (in DoA's capacity as the College's Chief Academic Officer) regarding curriculum related to satisfaction of the resident students' JPME and M.A. requirements.

(12) Academic programs, curricula, policies, standards, teaching methodologies and scheduling of courses and programs outside of CLE will be the responsibility of the dean for that specific college.

g. <u>Dean of International Programs.</u> The Dean of International Programs coordinates and oversees NWC initiatives to sustain and strengthen navy-to-navy relationships, Joint Security Assistance Training plans, and maritime theater security cooperation, and reports directly to the Provost. In doing so, the Dean closely coordinates actions to support these objectives with the Dean of Academics, Directors of the Naval Command College and the Naval Staff College, the Dean of the College of Maritime Operational Warfare and the Director of the International Maritime Staff Operators Course (IMSOC), the Dean of Students, the Director of Mission Support, the Dean of the College of Naval Warfare Studies, and Chair of the War Gaming Department as it relates to the International War Gaming Course, and the Directors of the College's Regional Studies Groups (RSG). The Dean of International Programs is responsible for the following:

(1) Serving as the NWC's primary point of contact with the Office of the Deputy Chief of Naval Operations, International Programs & Technology Transfer Branch (N525), the Navy International Programs Office (NAVY IPO), and the Navy Education and Training Security Assistance Field Activity (NETSAFA) for purposes of coordinating the participation of officers from friendly and allied navies in the NCC and NSC, and the development of annual invitations to do so.

(2) In coordination with the Dean of Academics, oversees the planning and execution of NCC and NSC Field Studies Programs (FSP) visits.

(3) In coordination with the Dean of Students and the Directors of NCC and NSC, interviewing and recommending U.S. officers to attend the NCC and NSC.

(4) Supported by the Office of Protocol and Events, coordinating all aspects of visits by foreign dignitaries to the NWC, to include foreign war college visits, CNO equivalents, etc.

(5) Serving as the NWC's primary point of contact responsible for all aspects of the CNO-sponsored International Seapower Symposium (ISS), to include planning, programming, and budgeting of the resources required to support the ISS.

(6) Oversee and provide support to the Director of Alumni Programs for the College's Regional Alumni Symposiums (RAS) held 2-3 times per year in various regions around the world, to include planning, programming and budgeting required resources.

(7) Providing administrative support for the College's CNO Distinguished International Fellows.

(8) Coordinating the College's liaison with sister-Service U.S. war colleges concerning international programs.

(9) In coordination with the Dean of the College of Distance Education, overseeing the enrollment of international officers in the College's distance education programs.

(10) Coordinates all aspects of the College's International Outreach Program.

h. <u>Dean of Students.</u> The Dean of Students is responsible for all administrative tasks, excluding pay and service records, associated with the resident JPME student body of the CNW and the CNCS. The Dean of Students is responsible for the following:

(1) The general welfare of all U.S. resident JPME students.

(2) Coordinating with the Deans, Department Chairs, Service Advisors, and College Directors in developing policy recommendations for the Provost and Dean of Academics.

(3) Coordinating student involvement in various College committees; serving as the principal advisor for U.S. Navy and civilian students.

(4) Preparing fitness reports for Navy JPME students and end-of-term letter reports for all civilian students; and monitoring the quality of support services that are available to student personnel. Evaluations or fitness reports for officers in Services other than the Navy are prepared by their respective senior Service advisors. The Dean of Students also functions as the College's Registrar for resident JPME students.

i. <u>Dean of the College of Maritime Operational Warfare.</u> The College of Maritime Operational Warfare (CMOW) provides a direct and continuous tie between the NWC and the nine Navy Fleet staffs by conducting maritime operational level education and assistance at NWC and Fleet headquarters in order to improve the ability of Fleet Commanders and their staffs to command and control Navy, naval, joint, and combined forces. The CMOW faculty is focused on supporting combat readiness at the operational level of war through a series of tailored PME courses designed to improve the functioning of maritime staffs, improve the decision-making capability of the senior leaders leading these staffs, and educate both U.S. and international flag officers to serve as maritime component commanders. CMOW's resident PME courses consist of two courses for Flag Officers: Joint Force Maritime Component Commander (JFMCC) Course and Combined Force Maritime Component Commander (CFMCC) Course; Executive Level Operational Level of War (OLW) Course (ELOC) for O-6 staff officers; Maritime Operational Planners Course (MOPC) for O-3 to O-5 Navy planning officers; and Maritime Staff Operators Course (MSOC) for E-7 to O-5 staff personnel. In support of the NWC's Dean of International Programs, CMOW faculty develop curriculum and teach the International Maritime Staff Operators Course (I-MSOC) at NWC. Additionally, CMOW partners with the Japanese Maritime Self Defense Force Command and Staff College to develop curriculum and teach the Asia-Pacific Navy Planning Process International Course (APNIC) annually in Japan for Pacific Rim nation staff officers. In addition to CMOW's resident PME courses, the Dean is responsible for the following:

(1) CMOW's Assist and Assess Team (AAT) provides tailored operational level assistance and education to Fleet headquarters staffs on-site around the world. AAT is instrumental in developing and sharing effective Maritime Operations Center (MOC) practices among all Fleet staffs while providing direct support during contingencies and fusing existing and emerging doctrine.

(2) CMOW's Civilian-Military Humanitarian Response Program faculty partner and collaborate with leading universities and humanitarian organizations to advance civilian-military engagement and coordination during complex emergencies and natural disasters, and improve the U.S. Navy's effectiveness in conducting humanitarian assistance and disaster response operations.

(3) CMOW's Operations Directorate coordinates, plans, and schedules tailored Flag Officer development programs for visiting prospective carrier strike group and expeditionary strike group commanders and other flag officers as directed; manages prioritization and allocation of CMOW resources; publishes the *MOC Warfighter* on line journal; and synchronizes CMOW's faculty and professional development.

(4) CMOW's Support Directorate performs all student control functions for CMOW's 650+ resident student annual throughput as well as coordinating all CMOW budget, contracting, administrative, travel, facilities, human resources, and information management functions.

j. Dean of the Center for Naval Warfare Studies. The Center for Naval Warfare Studies (CNWS) is the primary research, analysis, and wargaming arm of the NWC and reports directly to the Provost. The Dean oversees the development of concepts concerning national security and strategic thought and fosters innovative ideas for the future employment of naval forces in peace and war. These duties include coordinating and directing all advanced research activities at the NWC by maintaining active contact with the staffs of the CNO, the Commandant of the Marine Corps, the combatant commanders, fleet commanders, and other U.S. and foreign government agencies. The Dean, through the collective leadership of the CNWS, manages and executes the annual research budget; conducts the College's Title 10 war games and other war games as directed; directs focused policy studies; coordinates departmental strategic direction; and supports the College's extended reach through conducting professional symposia, conferences, briefings, and the submission of research work for widest publication. The Dean is responsible for publishing the *Naval War College Review* and the Newport Papers, supporting the curricula of the teaching departments, and encouraging faculty, staff, and students to contribute to strategic thought and research. Additionally, the Dean coordinates with the Dean of Academics (in DoA's capacity as the College's Chief Academic Officer) regarding student advanced research project scheduling and satisfaction of the resident students' JPME and MA requirements.

k. Additional. The Provost and the Deans are assisted by the Associate Provost, Deputy/Associate/Assistant Deans, Department Chairs, Directors, and Department Heads, who are collectively responsible for the operation of a sound organization that will provide for the most collaborative and effective performance of departmental, directorate, or College functions; administer and manage their respective departments and colleges; control and monitor the expenditure of allocated funds; and provide consultant services to the PNWC, Provost, Deans, major planning and policy boards, committees, and other departments, colleges, or directorates.

(1) Operations

(a) *Academic Department Chairs.* Academic Department Chairs are responsible, subject to the guidelines and direction of the Dean of Academics, for planning, developing, and preparing the resident JPME courses of study for the College of Naval Warfare and the College of Naval Command and Staff and special courses of study for the Naval Command College, the Naval Staff College, and others as approved by the PNWC or Provost. The Chairs are responsible for coordinating the development of relevant curriculum material with the other departments for integration among courses of study within the NWC; ensuring the selection, procurement, and distribution of requisite texts, selected readings, and materials necessary for the conduct of the courses of study; supervising the faculty in the conduct of the courses of study to ensure maximum coordination and effectiveness; conducting annual retreats and ancillary meetings to solidify course planning and course development; supervising faculty and providing timely assessments of faculty performance; recruiting new civilian faculty members and making nominations for faculty positions to the Provost via the Dean of Academics; conducting planning and liaison to provide guest lecturers and other guests with curriculum information; maintaining contact and liaison with key military and civilian defense, industry, and educational representatives to assist the Provost and Dean of Academics in the academic activities of the NWC; providing membership to the Academic Policy Council (see paragraph 7b[2]); and performing other duties as designated by the Provost or Dean of Academics.

(b) *The College of Distance Education Academic Department Heads*. The CDE Academic Department Heads, under the guidance of the Dean of the College of Distance Education, and in coordination with the academic Department Chairs, are responsible for the planning, developing, and preparing of the core JPME courses to support the NWC distance education programs, and prepare and administer these courses via appropriate distance learning methodologies; ensuring the selection, procurement, and distribution of requisite texts, selected readings, and materials necessary for the conduct of the CDE courses of study; supervising faculty in the conduct of the courses of study to ensure maximum coordination, currency and effectiveness; conducting annual retreats and ancillary meetings to solidify CDE course planning and course development; supervising faculty and providing timely assessments of faculty performance.

(c) *Center for Naval Warfare Studies Department Chairs*. The CNWS Department Chairs are responsible for the planning, development, coordination, and execution of all activities within the departments, to include supervising faculty and providing timely assessments of faculty performance; recruiting new civilian faculty members and making nominations for faculty positions to the Provost via the Dean of the Center for Naval Warfare Studies; managing equipment resources; developing and executing sound budgets; leading respective departments through strategic and operational growth; and maintaining liaison with resource sponsors as well as key military and civilian defense, industry, and educational representatives.

(d) *Directors of the Naval Command College and Naval Staff College*. The Directors of the Naval Command College (NCC) and Naval Staff College (NSC) direct the respective college curricula and coordinate with other departments as necessary; plan and conduct student orientation programs, active sponsor programs, Chief of Naval Operations Field Studies Program visits, and liaising with and supported by the Director of Alumni Programs, an active program of alumni relations; train and develop the appropriate staffs; provide responsible fiscal management; oversee the requisite courses of instruction, staff, and students; and provide support as necessary to the education and conferences required to support the College's international programs mission.

(e) *College of Maritime Operational Warfare* (*CMOW) Course and Program Directors.* CMOW Directors are responsible, subject to the guidelines and direction of the Dean of the College of Maritime and Operational Warfare, for planning, developing, and preparing the CMOW resident and non-resident courses of study as approved by the PNWC or Provost. The Directors are responsible for coordinating the development of relevant curriculum material with the other departments for integration among courses of study within the NWC; ensuring the selection, procurement, and distribution of requisite texts, selected readings, and materials necessary for the conduct of the courses of study; supervising the faculty in the conduct of the courses of study to ensure maximum coordination and effectiveness; conducting ancillary meetings to solidify course planning and course development; supervising faculty and providing timely assessments of faculty performance; recruiting new civilian faculty members and making nominations for faculty positions to the Provost via the Dean of the College of Maritime and Operational Warfare; conducting planning and liaison to provide guest lecturers and other guests with curriculum information; maintaining contact and liaison with key military and civilian defense, industry, and educational representatives to assist the Provost and Dean of the College of Maritime and Operational Warfare in their academic activities at the NWC; providing membership to the Academic Policy Council (see paragraph 7b[2]); and performing other duties as designated by the Provost or Dean of the College of Maritime and Operational Warfare.

(f) *Associate Dean of Academics*. The Associate Dean of Academics reports to the Dean of Academics. The Associate Dean designs the program, establishes policies subject to the guidelines and direction of the Dean of Academics, and ensures that the program maintains the highest academic standards for the resident Elective Program. The Associate Dean manages NWC graduate certificate programs, including coordination with individual certificate program directors. The Associate Dean oversees scheduling, student enrollment, and general curricular matters concerning student advanced research projects within the Center for Naval Warfare Studies that account for Electives Program credit. Per discretion of the Dean of Academics, the Associate Dean may serve as the Acting Dean of Academics during the absence of the Dean of Academics.

(2) Administration and Support

(a) *Associate Provost*. The Associate Provost coordinates the NWC's comprehensive assessment efforts in institutional effectiveness; develops, coordinates, and executes a comprehensive assessment strategy that is evolutionary, ongoing, and incremental; incorporates advisement and education to the academic leadership, faculty, and staff, which allows the NWC to meet the goals of the academic program and educational methodology as well as fulfill the requirements for the recertification by NECHE and the congressional and DoD–mandated PAJE; plans, organizes, and manages self-study programs required for institutional progress and recertification; and serves as the key link to NECHE and as special assistant for joint professional educational matters.

(b) *Associate Provost for Warfighting Research and Development.* The Associate Provost for Warfighting Research and Development is responsible for forming, promoting and leading collaborative research and development activities across the war college. With the accelerating adoption of science to technology and technology to capabilities, the Associate Provost provides senior leadership in promoting internal NWC and external partnerships to address warfighting challenges and to take advantage of opportunities to maintain maritime superiority. The Associate Provost maintains focus on strategic, operational and tactical employment of United States military and naval forces, and on developing operational and functional concepts and capabilities that maintain a credible fighting force. These duties include promoting and assessing faculty, student, Navy and Joint research efforts consistent with guidance from the Chief of Naval Operations, the President of the Naval War College and the Provost. The Associate Provost is charged with maintaining relationships with Navy, Joint, Academic and Industry resources to advance NWC WR&D. The overall mission of the NWC warfighting research and development mission is to create and innovate warfare concepts and capabilities that support combat readiness and define the future force.

(c) *Deputy to the Provost/Director of Mission Support.* The Deputy to the Provost oversees the Civilian Human Resources Department, Facilities and Safety Departments, Visual Communications Department and Major Events and Visitors Department. He/she is responsible for administering the College's academic and business activities, critical support services, and long-range strategic planning. He/she works closely with the PNWC, Provost, HR Director, and Comptroller in developing the College's Human Capital Strategy. In addition, the Deputy is responsible for ensuring consistency in human resources management across the spectrum of actions, to include but not limited to, pay-setting, position management, and discipline.

(d) *Special Advisors*. The State Department, United States Air Force, Army, Coast Guard, Marine Corps, and, from time to time, other agencies and organizations provide special advisors to the College who represent and supervise their organizations' interests and personnel matters as they relate to the NWC, its missions, and curricula. Advisors also serve as faculty members in teaching departments.

3. Academic Organization

a. Strategy and Policy Department. The Strategy and Policy (S&P) Department teaches students to think strategically. Strategy and Policy is the senior-level course (SLC) that examines the strategic dynamics of long wars; employs case studies and leading strategic thinkers to examine diverse types of wars, encompassing a variety of operations and different keys to success; and analyzes the strategic successes and failures of great, regional, and small powers and non-state actors over long periods of time. Strategy and War is the intermediate-level course (ILC) that examines how the overall strategic environment shapes operational choices and outcomes. In turn, the course also examines the strategic effects of operations, exploring how battlefield outcomes change the strategic environment. In both courses students examine the relationship between a nation's political interests and goals, on the one hand, and the way military force has been and may be used to pursue those goals, on the other. The object is to learn and to practice a process of critical strategic analysis. Major strategic thinkers, fundamental analytic categories, and recurring strategic themes are applied to historical cases and considered in light of present and prospective events. Analysis stresses that the strategic connection between political purpose and military means is an interactive process; that political goals must, if war is used, be matched by an adequate and appropriate strategy; that this involves assessment of the international security environment and one's own and one's adversary's domestic will and military capacity; that civil-military relations must be kept carefully coordinated; that coalitions and alliances have costs as well as benefits; and that war-termination considerations must continuously accompany both policy and strategy.

b. National Security Affairs Department. The National Security Affairs (NSA) Department offers two courses that partially fulfill the Master's Degree requirements for the Naval War College: National Security Decision Making (NSDM) for students enrolled in the SLC and Theater Security Decision Making (TSDM) for students enrolled in the ILC. These eight-credit hour courses provide a broad interdisciplinary foundation in contemporary national security affairs through studying international security, regional affairs, and foreign policy analysis. NSDM is focused on the application of theory to analyze the global system and how the US government makes foreign policy decisions. Through NSDM, students develop the ability to analyze the international security environment, assess national security strategies, and improve operating concepts to inform force structure decisions within a political context. TSDM is focused at the theater-strategic level where students intensively study one region of the world and analyze how US government foreign policy decisions impact theater security. Through TSDM, students develop the ability to assess a regional security environment, develop theater military strategy, and identify capability gaps to advance and defend national interests.

c. Joint Military Operations Department. The Joint Military Operations (JMO) Department teaches the Joint Military Operations Course in the SLC, and the Joint Maritime Operations Course in the ILC. The curricula for the two courses are based on enduring principles historically governing military operations updated to the

current world situation and stemming from the extant National Security Strategy and the National Military Strategy. The SLC emphasizes issues that must be addressed by a regional, warfighting combatant commander, supporting other combatant commanders and subordinate commanders and supporting staffs. The ILC is directed at those issues affecting operations of the joint task force (JTF) commander, subordinate commanders, and supporting staffs. Both courses seek to develop an entirely new perspective for the students. The entering student's primary background experience is generally in applying a single, discrete discipline within the narrow dimension of a segment of a single-Service environment. The graduating student, on the other hand, has a firm grasp of military/naval strategy and campaigning, including integrated operations with other Services and multinational operations. Students also understand the linkages between strategy, operations, and tactics, and possess a thorough grounding in the essential elements of military planning and decision making. The operations courses employ a multidisciplinary approach that synthesizes selected concepts from strategy, military decision making, international law and rules of engagement, operational planning, and warfare tasks.

d. College of Leadership and Ethics. The College of Leadership and Ethics (CLE) teaches a leadership development curriculum within the SLC/ILC core JPME curricula through the Leadership in the Profession of Arms (LPA) program. This course is a seminar-based, faculty-guided, student-led, leader-development experience. The primary objective of the course is to provide a developmental experience and self-learning journey that is relevant and rigorous, and will enable officers to be effective leaders in future roles. The course gives students the opportunity to develop new competencies and to strengthen their personal character. The course facilitates individual leader self-awareness and development. The course of study assists students as they explore what it means to demonstrate a deliberate commitment to continuous development of competence and character throughout the course of their careers.

e. Maritime Advanced Warfighting School. The Maritime Advanced Warfighting School (MAWS)—formerly titled Navy Operational Planners Course—was established at the NWC in late 1998 as the Navy's version of the Army's School of Advanced Military Studies (SAMS), the Marine Corps' School of Advanced Warfighting (SAW), and Air Force's School of Advanced Air and Space Studies (SAASS). It differs from the other Service schools because it integrates the NWC resident ILC/JPME Phase I curriculum with a tailored operational planning and leadership curriculum in a single thirteen-month package, rather than a one-year ILC plus separate one-year advanced warfighting curriculum, as required by the other Services' advanced warfighting programs. MAWS is an integral component of the NWC educational mission to develop leaders with the skills required to plan, execute, and assess multinational, interagency, joint, and naval operations at the operational and strategic levels. U.S. operational commanders require officers who are warfare-proven, skilled in operational planning, and able to apply maritime power effectively. Such skills are essential in an environment of exceptional speed and complexity; officers must develop them through practical experience built on a solid educational foundation. The MAWS mission is to provide this educational experience to officers

who are then assigned to planner billets on numbered Fleet, Navy Component Commander, and Combatant Commander staffs, and postured to fill key leadership positions within their respective warfare communities.

f. <u>Advanced Strategist Program.</u> The NWC Advanced Strategist Program (ASP) is a small-scale, high-impact program established in 2013 as part of the CNO's re-design of the Navy's Strategic Enterprise. The purpose of this program is to assist, along with several other avenues across the Navy, in creating a cadre of senior officers skilled in the practice of formulating, developing, and executing strategy at various leadership levels in order to fill key billets in Navy, Joint, and high-level political staffs. ASP furthers the students' strategic literacy across a broad range of strategy topics, and also includes a thesis program, engagement trips, and completion of a practical strategic application planning project over a 10-week summer term. Resident students of both the College of Naval Warfare (CNW), and the College of Naval Command and Staff (CNCS) are eligible for this 13-month curriculum which complements the Core and supersedes Electives Program requirements. USN students matriculating in August may be assigned to the program prior to arrival in Newport; Joint and Interagency students may be competitively selected for the program after arrival at the NWC. Upon completion, U.S. Naval officers will earn the Naval Strategist Sub-specialty Code (SSC) 2300P. U.S. Air Force officers will earn Advanced Study Group (ASG) credit, and U.S. Army officers will earn the 6Z Army Strategist Skill Identifier. The ASP Executive Director oversees all aspects of the program for the Dean of Academics.

g. <u>Electives Program</u>

(1) Concept and Objectives. The purpose of the Electives Program is to expand treatment of subjects covered in the core JPME courses, offer subjects not available in the core JPME courses, and generally permit students, professors, and ideas to thrive in a climate of intellectual opportunities. The program does this by providing a wide range of course offerings that are organized into various Areas of Study. A number of Areas of Study may warrant special competencies that can be identified and tracked by the Navy's personnel system through the assignment of an additional qualification designator (AQD); however, programmatic changes in the NWC curriculum may require reevaluation of these AQDs to determine if the curriculum aligns with AQD requirements. Elective courses can be selected according to a student's personal interests and professional preferences, and students may take courses within different Areas of Study. Students may also pursue an individual research project in lieu of a formal elective course on a case-by-case basis. Students also have the option of committing to a Group Advanced Research Project (Halsey, Gravely, Mahan, Joint Land Air Sea Simulation, etc.) for the entire academic year for elective credit; these students, along with those enrolled in MAWS and ASP, will take a modified version of the Leadership in the Profession of Arms course that runs outside of the normal Core/Elective schedule. An Elective requires approximately 20 percent of the student's total academic effort during a trimester, or a workload of about 90 hours per trimester, including class time. The PNWC expects a significant number of resident faculty members to participate in the Electives Program by offering

elective courses in their respective areas of expertise and research as a matter of service to the NWC. It is the PNWC's intent that teaching an elective course or courses shall constitute substantive service to the College's missions, functions, and tasks beyond the teaching or research responsibilities associated with the individual's specific position.

(2) Description

(a) All elective courses offered by the NWC, or accepted by the College for credit toward the requirements of the nonresident Graduate Degree Program, shall meet the high academic standards required for accreditation. All U.S. students in residence in Newport shall complete two two-credit elective courses in order to qualify for the College's JPME I and JPME II diplomas and the Master of Arts Degree in either National Security and Strategic Studies or Defense and Strategic Studies. Nonresident Graduate Degree Program students need to complete nine graduate-level semester hours of elective work within a single area of study to meet their degree requirements.

(b) All resident U.S. students are required to enroll in one elective during the two trimesters they are not taking the mandatory Leadership in the Profession of Arms two-credit course. If approved by the Associate Dean of Academics, a student may fulfill this requirement by conducting a directed research project under the guidance of a faculty mentor. Students in certain programs, such as the Ethics and Emerging Military Technology graduate certificate or the Navy Senior Leader Development Concentration, are required to take two elective courses in some trimesters; such students are enrolled prior to the open registration period. Students who decide to commit to a specified Area of Study for the entire year will receive priority enrollment but must commit to that area of study before course registration in their first term. Student assignment to an area of study may be limited by the total number of seats available in the elective courses being taught in a particular term. Once an area of study is selected and assigned, it may be changed only with written permission from the Associate Dean of Academics. Once a student has been assigned to a seat in an elective course, the student will remain in that course for the entire trimester. Transfer to another elective course may be considered by the Dean of Academics based on written recommendations by the Associate Dean of Academics, the Dean of Students, and, as appropriate, the senior Service advisor when the needs of the specific Service are involved. Transfer to a different elective course after the completion of the first lesson will not be permitted except for rare and unforeseen circumstance. Students enrolled in MAWS, ASP, or a group ARP will take a modified version of the Leadership in the Profession of Arms course and use the electives periods to fulfill the requirements of their special programs.

(c) Members of the NWC faculty and staff possessing undergraduate degrees may take elective courses for credit with the permission of their supervisors, the course professors, and the Associate Dean of Academics.

(d) International officers are encouraged to enroll in one unclassified elective per trimester on an ungraded basis. International officers selected for the

International Master of Arts Program (IMAP) are required to do the full amount of work for each two-credit elective.

(e) International officers may choose to enroll in the American Studies Certificate Program for credit. The program provides students with an enhanced understanding of American history and culture throughout the academic year. The curriculum includes a focus on American history, American institutions including the U.S. Constitution, U.S. Government structure, and topical issues the international students may learn about throughout their tours in the United States.

(f) A complete explanation of all electives policies may be found in Chapter III.

h. College of Distance Education. The College of Distance Education (CDE) offers the CNCS curriculum in three separate programs for officers and selected enlisted personnel and U.S. Government employees. Graduates of these programs receive an NWC diploma and certification for JPME Phase I. A Master's Degree in Defense and Strategic Studies is also available to qualified and selected students of the Fleet Seminar Program who complete the requisite elective program of study, through the Graduate Degree Program.

(1) Fleet Seminar Program. Fleet Seminars are held at locations throughout the continental United States and Hawaii. These seminars are conducted by a network of highly credentialed adjunct professors and are supported by visiting lecturers of international reputation in their fields and faculty members from the College. Their syllabi are derived from the resident curriculum and thus reflect, as closely as possible given the structural dynamics inherent in distance education, the core JPME courses taught at the College. Normally, students complete the program in three years. Fleet Seminar students wishing to be considered for the Master of Arts Degree in Defense and Strategic Studies may apply to the Non-resident Graduate Degree Program upon completion of their first Fleet Seminar Program course. The Graduate Degree Program Admissions Board will review all completed application packages and recommend worthy candidates to the Dean of the College of Distance Education for review and acceptance. The board's decision is based on previous academic performance, the successful completion of at least one of the core JPME courses, and academic references. Additional elective courses in an area of study, as is the case with U.S. resident students, from either the NWC or other accredited academic institutions, and approved by the Graduate Degree Program Program Manager using guidance provided by the Dean of the College of Distance Education and the Associate Dean of Academics, must be completed.

(2) Web-Enabled Program. This program leverages internet-based educational technologies to deliver more focused versions of the three core JPME courses and various elective courses. These instructor-led courses cater to students who are not located at, or near, fleet concentration areas or whose duties preclude attending the Fleet Seminar Program.

(**3) Naval War College at the Naval Postgraduate School.** Through a partnership with the Naval Postgraduate School, the NWC delivers a tailored version

of the ILC to students at the Naval Postgraduate School in Monterey, CA. The program delivers a series of four elective courses that are embedded in the educational plans of many curricula completed by unrestricted line Navy officers.

(4) Online PME. Available 24/7 afloat and ashore via Navy eLearning, four courses provide Navy and joint PME tailored for professional development at career milestones for both the enlisted and junior officer communities. These courses cover such topics as naval history, customs, honors and traditions, doctrine, naval and joint warfare, and regional and cultural awareness, to name just a few. Courses are self-paced with assessment tests following each lesson. These courses are designed to provide maximum accessibility, value, and relevance. Reserve retirement points are available and completion is tracked in the Sailor's Electronic Training Jacket.

i. Naval Command College. The Naval Command College (NCC) enrolls senior international officers who attend the College of Naval Warfare core JPME courses alongside, and are fully integrated with, their U.S. counterparts. International students submit papers and participate in most academic exercises but do not take all exams or receive recorded grades unless they have been accepted into and are participating in the Master's Degree program. Upon arrangement with their professors, international students not in the Master's Degree program may, at their own discretion, take exams and receive feedback from their professors. The education for international officers is a blend of the NWC curriculum and Field Studies Program visits. These visits expose the students to the American culture, economy, government, and American leaders through a series of scheduled trips throughout the country. Graduates receive a NWC diploma and transfer credit. A Master's Degree in National Security and Strategic Studies is also available to qualified and selected international students who meet program entrance requirements and who complete the requisite program of study. Additionally, Naval Command College international officers have an opportunity to volunteer for an American Studies Certificate Program enhancing their understanding of the American culture, issues, and government structure.

j. Naval Staff College. The Naval Staff College (NSC) is a program for intermediate-level international officers. The NSC is a ten-month course that fully integrates international students into the College of Naval Command and Staff in a manner similar to the NCC program. Students take exams (some are optional), write research papers, and receive written assessments. Students go on several Field Studies Program visits throughout their academic year. Graduates receive a Naval War College diploma and transfer credit. A Master's Degree in Defense and Strategic Studies is also available to qualified and selected international students who meet program entrance requirements and who complete the requisite program of study. Additionally, Naval Staff College international officers have an opportunity to volunteer for an American Studies Certificate program enhancing their understanding of the American culture, issues, and government structure.

k. Maritime Staff Operators Course Directorate. The Maritime Staff Operators Course (MSOC) is designed to produce personnel who are capable of planning, preparing, executing, and assessing complex maritime operations in a

dynamic environment through application of Maritime Operations Center (MOC) processes and procedures. The focus of MSOC is on maritime operations at the operational level of warfare, and the art and science associated with military activities across the range of military operations. The numerous five-week long MSOC annual in residence courses provide an experiential learning environment for active duty and reserve military (E-7 through O-5), and civilian support staff assigned to MOC staffs. MSOC incorporates seminars, lectures, and practical exercises using a realistic maritime scenario. The MSOC educational experience culminates with a week-long Battle Lab exercise designed to replicate the organization, processes, procedures, and command and control tools of a nominal MOC. Specifically, course graduates will be:

(1) Prepared to immediately and effectively serve on maritime operational level staffs;

(2) Skilled in providing support to the commander's decision cycle;

(3) Skilled in using the Naval Planning Process as a key member of an operational planning team (OPT) within a MOC;

(4) Capable of conducting crisis or contingency planning across the range of military operations and develop plans and orders at the operational level of warfare;

(5) Capable of planning, exercising and synchronizing operational-level functions: command and control (C2), intelligence, sustainment, movement and maneuver, fires, and protection;

(6) Capable of managing the flow of information within a staff and among subordinate commands or activities, adjacent components, and higher headquarters staffs while working within a collaborative information environment;

(7) Able to operate within a battle rhythm and participate effectively in any MOC cross-functional team (board, bureau, center, cell or working group).

Additionally, MSOC faculty are responsible for developing, maintaining, and teaching curriculum to international officers attending the International Maritime Staff Operators Course (I-MSOC). I-MSOC is coordinated by NWC's Dean of International Programs.

l. <u>International Maritime Staff Operators Course.</u> The international Maritime Staff Operators Course (IMSOC) is designed to produce international officers who are capable of planning, preparing, executing, and assessing complex maritime operations in the maritime environment. The 12-week, in-residence course provides an experiential learning environment for international military officers O-3 through O-5. Specifically, course graduates will be:

(1) Capable of comprehending why the military conducts planning;

(2) Able to understand key planning concepts;

(3) Able to understand fundamentals of planning;

(4) Able to comprehend the commander's and staffs' roles in the Planning Process;

(5) Able to comprehend the steps of the U.S., Navy Planning Process.

m. <u>Maritime Operational Planners Course Directorate.</u> The Maritime Operational Planners Course (MOPC) is a 12-week in-residence course for O-3 to O-5 officers conducted twice annually. The course develops planners capable of performing in dynamic, complex, and high-tempo maritime operational environments. MOPC produces officers capable of forming, organizing, and leading operational planning teams and who are proficient in the detailed application of Navy Planning. Graduates of the MOPC are designated Maritime Operational Planners, acquiring the Additional Qualification Designation of JPM. They are prepared to immediately and effectively serve on maritime component staffs as skilled planning team leaders and key members. MOPC graduates will be able to:

(1) Excel as a planning team member and lead planning teams addressing maritime planning problems.

(2) Conduct Crisis Action Planning or Deliberate Planning across the range of military operations.

(3) Write Navy component supporting plans and orders with select annexes.

(4) Interact across all echelons of a joint force and effectively represent maritime perspective as a liaison to higher, adjacent, and subordinate headquarters, and participating interagency and multinational forces.

n. <u>Executive Level Operational Level of War (OLW) Education Directorate</u>. The Executive Level OLW Education team is designed to provide a comprehensive and coordinated approach to executive (O-6 and above) OLW education. CMOW's Executive Level OLW Education encompasses the Combined Force Maritime Component Commander (CFMCC) course, Joint Force Maritime Component Commander (JFMCC) course, the Executive Level OLW Course (ELOC), executive level tailored assist visits and en route I-Stop Flag Officer visits by prospective commanders. The Executive OLW Education team is comprised of the CMOW Dean; Deputy Dean; JFMCC, CMFCC, ELOC Directors; and portions of the Operations Department. The C/JFMCC course curriculum design sets the foundation for Executive OLW Education. The team is responsible for: 1) Ensuring information is shared between courses and throughout CMOW; 2) managing and leveraging Highly Qualified Expert-Senior Mentors (HQE-SM) and senior facilitators in all aspects of executive education; 3) providing an entry point for flag and senior officer engagement with CMOW.

(1) Combined Force Maritime Component Commander Course. The Combined Force Maritime Component Commander Course (CFMCC) is offered three-to-four times a year on location at various Fleet sites and in partnership with naval headquarters commanders. Its purpose is to improve the effectiveness of senior leaders (flag and general officers) who routinely function together at the operational level of command and control. CFMCC has the following three objectives:

(a) Develop and deepen relationships based on trust and confidence among partner nations in the framework of regional challenges.

(b) Serve as a forum to evolve combined maritime command and control concepts and mechanisms, and eliminate impediments to effective coordination.

(c) Advance the understanding of those security issues facing participating nations.

(2) Joint Force Maritime Component Commander (JFMCC) Course. The Joint Maritime Component Commander Course (JFMCC) is a six-day course offered once a year in residence at NWC and is the senior executive component of the Navy's Professional Military Education (PME) Continuum. It is conducted at the TS/SCI level, employing a scenario based, seminar style exercise based on real-world operational challenges. The course is maritime focused but in the context of a joint campaign conducted in a joint/coalition/interagency environment. JFMCC is a world-class educational experience, employing experienced, senior subject matter experts with current authority in their field of expertise. Its primary focus is on in-depth discussion to fully understand key JFMCC issues while providing feedback to senior naval operational leadership to mature and sustain JFMCC capabilities. The course objectives are:

(a) Prepare future three-star officers to serve effectively as Maritime Component Commanders.

(b) Develop perspectives necessary at the component commander level for Flag and General Officers to gain a high degree of confidence with the concepts, systems, language, and processes to effectively employ naval forces in a joint/coalition/interagency environment.

(c) Address the practical challenges confronting the Commander at the operational level of warfare in the maritime domain.

(d) Serve as both a foundation and a catalyst for Navy cultural adjustments to accelerate evolution of JFMCC concepts and capabilities.

(e) Improve the ability of graduates to articulate the role of the maritime component in the design of a campaign plan to achieve the effects desired by the Joint Force Commander.

(3) Tailored Flag Education. CMOW is responsible for all USN Flag Officers that require continuing education en route to their next duty assignment. The typical three-day agenda is tailored to meet the needs of the commander and focuses on four areas: regional issues at the classified and unclassified levels, war-fighting, leadership and ethics, and MOC processes and procedures relevant to the CSG/ESG commander.

(4) Executive Level OLW Course. The Executive Level OLW Course (ELOC) is a weeklong course offered in residence at the NWC and available a minimum of three times a year. It is focused at the senior leadership (O-6) level and seeks to ensure attendees are properly educated in, and understand the intricacies of,

effectively participating in the decision making process and management of Maritime Headquarters (MHQ) with MOC resources. ELOC completes the OLW PME continuum of education between MSOC, MOPC and JFMCC. Expectations of an ELOC graduate are:

(a) A detailed understanding of roles, relationships, practices and procedures of operational level staffs and the evolution of command and control at maritime staffs.

(b) An awareness of the challenges and dynamics of managing MHQ and MOC resources.

(c) Knowledge of how to translate Commander's vision and guidance into action.

o. Naval War College Library. The Naval War College Library supports the mission of the College by providing information resources and services, by supporting student and faculty research and scholarship, and by promoting lifelong learning. In addition to these services, librarians fill an important role as educators in information literacy, assisting students, faculty, and staff with learning how to use a variety of search and indexing systems, and with analyzing and determining the relevancy of information. Constituents include anyone associated with the College's educational offerings, as well as its research and analysis activities. The library also supports visiting scholars, dignitaries, and the broader Naval Station Newport community. A sampling of library services includes providing reference assistance; access to over ninety databases—many of which include full-text articles and reports; instructing patrons on effective use of library tools and services; and operating an interlibrary-loan service that acquires materials currently unavailable in the NWC library. The library, named in honor of Rear Admiral Henry Effingham Eccles, a distinguished logistician from the Second World War, is composed of two primary elements: the Main Library, located in the Learning Commons of Hewitt Hall, and the Classified Library on the mid-level of the Learning Commons. The Library Director reports directly to the Provost.

p. Writing and Teaching Excellence Center. The Writing and Teaching Excellence Center provides writing resources to all resident students and teaching resources to all resident faculty. The Center helps students evolve as writers by working with them to write for the appropriate audience, refine a thesis statement, articulate an argument, understand how to integrate evidence into a paper, use appropriate structure to clarify the focus of papers, develop revision strategies, and know when and how to cite sources. The Center can also assist with strategies for reading more effectively and efficiently. Center staff works with students in one-on-one conferences and small group workshops. The Center promotes teaching excellence through faculty development, tips on teaching and evaluating student writing, peer collaboration, and opportunities to explore the Scholarship of Teaching and Learning. The Center holds workshops for faculty, offers opportunities for faculty from multiple departments to share expertise and teaching methods, meets one-on-one with interested faculty, and is available to observe faculty in the classroom.

q. Alumni Programs. The Director of Alumni Programs, residing under International Programs, provides recommendations and advice on matters pertaining to alumni relations as related to U.S. and international resident and nonresident NWC student and graduate communities. The Director is responsible for providing outreach programs, with the goal of fostering lifelong learning and maintaining networks of professional cooperation; fostering an active and growing community interested in PME and JPME, including leadership with professional ethics, and furthering global maritime security matters; planning, programming, and budgeting for the NWC's Regional Alumni Symposium (RAS) held two to three times per year in various regions around the world; and supporting the NWC Deans, their staffs, and other College mission support elements on all matters affecting alumni affairs and outreach.

4. Research Organizations

a. Center for Naval Warfare Studies. The Center for Naval Warfare Studies (CNWS) is the research, analysis, and gaming organization within the NWC, established to advance naval and joint strategic and campaign thinking, link strategic concerns with technological development, and evaluate strategic and campaign concepts through wargaming methodologies. Faculty work with the center on topics of both basic and applied research interest. The center, supervised by a Dean, consists of three departments: Strategic and Operational Research, War Gaming, and the Naval War College Press. The center also receives support from a detachment of the Office of Naval Intelligence (ONI) and is the principal liaison between the college and the ONI detachment.

(1) Strategic & Operational Research Department. The Strategic and Operational Research Department (SORD) focuses on major strategic, operational, and policy issues, including political, economic, military, technical, and industrial, affecting U.S. national security interests, and how such factors could influence the role of the U.S. Navy in securing these interests. Additionally, using principally applied research techniques, SORD studies persistent contemporary maritime challenges relevant to the joint and naval operating forces. Formal directed research groups are established to allow faculty and students to thoroughly research naval warfare topics of interest at a classified level. SORD provides analysis and assessment services for the College and for other U.S. military and government organizations.

SORD employs a multidisciplinary approach in its research. This encompasses in-depth analysis of national security strategy and military organizations in regions of primary importance to the United States and the use of gaming to explore questions not readily explicated through more traditional research methods. The defining objectives of SORD's work are to assess in-depth the emergent issues that could challenge U.S. political and security interests in unanticipated ways; to explore alternatives to existing policies; and to identify long-term issues that could redefine the future role of the Navy in U.S. national security strategy.

In addition to the formal directed research groups, the department oversees the operations of the China Maritime Studies Institute (CMSI), the Russia Maritime Studies Institute (RMSI), the Institute for Future Warfare Studies (IFWS) and the

ADM James R. Hogg Cyber and Innovation Policy Institute (CIPI). Their missions are to research, evaluate, and provide analysis in their related fields using a broad range of classified and unclassified sources through application of a variety of research methodologies. These groups also conduct outreach and maintain professional relationships with national security scholars and professionals.

(2) War Gaming Department. The War Gaming Department (WGD) conducts high quality research, analysis, gaming, and education to support the NWC mission, prepare future maritime leaders, and help shape key decisions on the future of the U.S. Navy. The WGD strives to provide interested parties with intellectually honest analysis of complex problems using a wide range of research tools and analytical methodologies.

The WGD conducts the following tasks: analyzes national security issues and informs appropriate leadership through timely publications and conferences; provides a source of ideas, criticism, innovative approaches, and independent analyses; promotes informed dialogue on all aspects of maritime and national security strategy; prepares studies and analyses on future concepts and requirements; and provides studies and analyses to support and supplement the NWC curriculum.

(3) Naval War College Press. The Naval War College Press publishes the *Naval War College Review* (the professional quarterly journal of the Naval War College), the Newport Papers monograph series, and selected books, both in print and electronically.

b. Hattendorf Historical Center. The John B. Hattendorf Center (HHC) for Maritime Historical Research, residing under the College of Leadership and Ethics, manages the College's maritime history and sea service heritage programs. This department serves as a resource and contact point for the NWC in matters relating to research in maritime history and heritage and has particular responsibility for its collections of art and historical materials, and for the use and display of such materials. The department has three complementary and interrelated functional divisions: (1) an Historical Section, which conducts research and writing in naval and maritime history; (2) a Museum Section, which maintains in cooperation with the Naval History and Heritage Command a museum of naval warfare that collects, preserves, and interprets historical properties that illustrate (a) key concepts in the evolution of maritime strategy and naval operations from antiquity to the present, (b) the history of naval activity in the Narragansett Bay region from the colonial period to the present, and (c) the institutional history of the NWC since 1884; (3) an Archives, Manuscripts, and Rare Books Section that manages the College's collection of historical materials.

c. Stockton Center for the Study of International Law. The Stockton Center for the Study of International Law, residing under the Center for Naval Warfare Studies, is an internationally recognized research institute for the study of international law and military operations that produces original analysis for national decision-makers, senior military leaders, scholars and legal practitioners throughout

the world in order to better grasp the role of international law in naval, Joint and Combined operations.

d. Office of Naval Intelligence Detachment. The Office of Naval Intelligence Detachment (ONI DET) Newport was established at the NWC in 1977 and is a detachment of the Office of Naval Intelligence, which is located at Suitland, Maryland. Under the auspices of the NWC, ONI DET is staffed by a cadre of civilian and military intelligence analysts and has an intelligence support mission that entails providing a realistic foil for planning, wargaming, research, and development of concepts and tactics. More specifically, this effort involves providing credible and consistent opposition play in designated war games, realistic intelligence support to Blue and Red forces, ad hoc written products and briefings, and information updates to the NWC staff on various high-interest, current intelligence topics.

5. Faculty Organization

The NWC is a government institution supported through the federal budget process. The NWC faculty functions similarly to other American academic institutions except as noted below. The College differs from most other institutions of higher education in two significant ways. First, the members of the faculty, as government employees, have a lesser degree of latitude than that characteristic of civilian faculties at many academic institutions; however, important rights such as academic freedom and responsibility are strongly protected. Second, because the College is a U.S. Government institution, it must abide by federal regulations regarding salary, hiring, promotions, and funding. Definitions and the organizational structure for faculty members are summarized in this section. A further explanation of faculty procedure and policy is given in Chapter II.

a. The Faculty. The faculty at the NWC consists of military officers and civilian academics, policy analysts, and individuals from other backgrounds. The military faculty comprises officers of the ranks of O-4 to O-6. Civilian faculty members generally hold "excepted" federal-service appointments in the academic rank of instructor, assistant professor, associate professor, or professor. Adjunct professors are part-time NWC faculty who are specialists in their fields and teach in the CDE Fleet Seminar Program, the Web-Enabled Program, and the Electives Program. Because almost all of the NWC education is at the graduate level, a preponderance of the faculty are considered to be members of a graduate faculty.

The College considers that it has one faculty. However, because of the nature of the missions assigned to the College, members of this faculty may be required to devote the preponderance of their efforts to one of the following functions of the College:

(1) Teaching. Certain faculty members teach courses and conduct or synthesize research as essential to develop and maintain the academic curricula and their own professional competence. Some are assigned major administrative responsibilities. The PNWC, the Provost, the Associate Provosts, the Deans, the Associate and Deputy Deans, the Chairs of the core JPME academic departments, Chairs of the CNWS departments, and CMOW Course and Program Directors are

included in this latter category, although many also teach. Professors are expected to be seen, heard, and read in broader professional circles as well as within the College. Research and publication, participation in conferences and professional meetings, media appearances (on their own time if compensated), and service within one's academic discipline (e.g., membership on editorial boards of journals, or membership on a professional committee) are some of the methods used.

(2) Wargaming. Certain faculty members are assigned duties that encompass a significant teaching or researching component through wargame design or execution.

(3) Research. Certain faculty members design, conduct, or synthesize original or applied research as a primary responsibility.

(4) The specific duties expected of each member of the faculty are outlined in Chapter II.

b. Authority of the Faculty. Academic privileges, rights, and responsibilities for faculty are established by provisions of Federal Civil Service Statutes or United States Military Regulations rather than by internal, constitutional governance or larger, professional organizations characteristic among those academic institutions having a distinctly different mission. Faculty privileges, rights, responsibilities, and obligations are addressed further in Chapter II of this handbook.

c. Officers of the Faculty. The positions of President, Dean of Students, Chair of the JMO Department, Directors of NCC and NSC, and Director, Assist and Assess team (AAT) are all held by members of the military. Officers in these positions are not likely to serve more than three years. The Provost, the Associate Provosts, the Deans, Associate/Deputy/Assistant Deans, the Chairs of the S&P and NSA Departments, and the CNWS Departmental Chairs are all civilians whose lengths of appointment are discussed in Chapter II.

d. Faculty Committees. Standing NWC administrative committees, many including direct or indirect faculty participation, are summarized in section 7b.

6. Student Organization

The Student Government Organization for degree-granting resident JPME programs supports academic, athletic, and social activities. Each JPME seminar has a leader appointed by the Dean of Students or academic department, who organizes student physical fitness, business, academic, activity, and athletic functions. The student seminar organization is revised each trimester to allow for broader interaction among students and to achieve an experience mix appropriate to course objectives. MSOC, MOPC and the SEA all have similar student organizations.

7. Standing Boards, Committees, Councils, and Senate

The PNWC and his principal officers are advised through several formally established committees, boards, and councils comprised of administrative officers and faculty. Direct opportunities for faculty participation in NWC governance are provided through faculty memberships on several standing and ad hoc committees.

Extensive use is made of faculty committees at the program or division level and within departments. Many issues, however, often considered to be under direct faculty purview at a civilian college or university are not the direct prerogative of individual faculty members; (e.g., class attendance and grading policy), rather, these issues are resolved by the administrative or military chain of command, which do provide venues for faculty members' inputs.

a. External

(1) Advanced Education Review Board (AERB). The CNO established the AERB in 2008 to provide Navy-wide education governance. The AERB, under the Secretary of the Navy, provides oversight of the Navy's education strategy, policy, resources, and execution. The board meets semiannually to provide timely recommendations to coincide with key decision points in the Navy's assessment and resourcing process. The AERB ensures the Navy's advanced education policy, programs, long-range goals and objectives, and resource investment are aligned with CNO guidance and the implementation of the Maritime Strategy. The AERB also provides oversight of the institutional integrity, policies, and ongoing operations of Navy educational institutions (the U.S. Naval Academy, the Naval Postgraduate School, and the U.S. Naval War College) to ensure efficient operation and support accreditation.

(2) Board of Advisors. The Secretary of the Navy established a Board of Advisors to the President of the College in 1967. This board was reconstituted in 2010 as the Board of Advisors to the Presidents of the Naval Postgraduate School and the Naval War College. There is an overarching board and two permanent subcommittees, one each for NPS and NWC. The Board of Advisors is chartered to advise and assist the Department of the Navy and the respective Presidents in educational and support areas by providing independent advice and recommendations on items such as, but not limited to, organizational management, curricula, methods of instruction, facilities, and other matters of interest. There are both nonfederal and federal members on the board of advisors. The overarching board is composed of no more than ten members who are eminent authorities in the fields of academia, business, national defense and security, the defense industry, and research and analysis. The NPS subcommittee is composed of no more than fifteen members and the NWC subcommittee is composed of no more than ten members. Each subcommittee deals with issues related to its respective school. Unlike the governing board at a civilian institution, however, this board is not ultimately responsible for College quality and integrity, nor does it hold either property or assets. The board operates under the provisions of the Federal Advisory Committee Act, the Government in the Sunshine Act of 1976, and governing DoD policies and procedures. There is a designated federal representative to the Board of Advisors at each institution. The board meets annually in October in the DC area and each subcommittee meets in the spring at its respective institution.

(3) Others. The College is subject to guidance from Congress. The House of Representatives Armed Services Committee's Panel on Military Education has established and monitors a broad set of PME objectives for all Services. The College

is also subject to broad guidelines for JPME stemming from congressional and Joint Staff interest. These external initiatives have the potential for determining at least a portion of the College's curricular content, although they would not alter methodology or academic rigor.

The PNWC also receives advice from various external sources. A variety of military staffs and commanders have a keen interest in the curriculum presented at the College and frequently suggest additional topics for inclusion or changes to the curricula. These organizations are staffed to a degree by NWC graduates, and, naturally, it is important to consider their recommendations. These recommendations or suggestions, however, are purely advisory.

b. Internal

(1) Faculty Senate. The Faculty Senate is a consultative and advisory body linking the faculty to the leadership of Naval War College. It is composed of approximately twenty-one members, including one member serving as the Chair and another maintaining the minutes. Communications between the Faculty Senate and the leadership operate in two directions: (1) issues of concern directed from the leadership to the Senate and (2) faculty concerns directed to the leadership. The Faculty Senate monitors all topics of interest to the faculty and attempts to assure that faculty perspectives are considered prior to decision making on important issues affecting the faculty.

(2) Policy Advisors. Several individuals provide expertise in specific areas, including advisors from the Army, Air Force, Marine Corps, Coast Guard, State Department, Central Intelligence Agency, and, on occasion, other agencies. The four military advisors are normally the senior officers in their respective Services assigned to the NWC and report to the PNWC via the Provost. The State Department Advisor is a Senior Foreign Service Officer whose unique experience and expertise are of great value and reports to the Provost. Advisors who have direct access to the PNWC include the Director of Strategic Communication, Staff Judge Advocate, the Comptroller, the Command Evaluation Officer, the Command Master Chief, the Safety and Occupational Health Manager, the Office of the General Counsel, and the Staff Intelligence Advisor.

(3) Academic Policy Council. The Academic Policy Council advises the PNWC and Provost on academic matters relating to policy issues that require presidential guidance or decision. These matters include, but are not limited to, curriculum review, review of research programs planned or in progress, and determination of academic eligibility and standards. The membership of this council consists of the PNWC, Provost, Associate Provost, Deans, Chairs of the three academic departments, Chairs of the CNWS departments, the Associate Dean of Academics, and others, by invitation, as required based on the educational program to be discussed. This council meets on a regular basis, but since its agenda addresses matters of College-wide policy, only when the PNWC is available to attend. The A designee assigned by the Dean of Academics serves as the executive secretary.

(a) *Joint Professional Military Education Subcommittee*. The Academic Policy Council is also assisted by a JPME Subcommittee established to provide executive oversight and to coordinate effective and timely integration of the JPME program into NWC curricula. The subcommittee is chaired by the Chair of the Joint Military Operations Department. Other members include the Associate Provost, the CDE Joint Maritime Operations Division Head, and the executive assistants of each academic department. The subcommittee meets as required.

(4) Dean of Academics Committee. The Dean of Academics chairs the Chairs/Directors Committee. The committee, composed of the Chairs of the core academic departments and the Associate Dean of Electives, and the Directors of MAWS, the Advanced Strategist Program, and the Writing and Teaching Excellence Center, provides a forum for JPME curriculum or curriculum-related discussions.

(5) Academic Integrity Review Committee. The Academic Integrity Review Committee is convened in those rare instances when the question of academic integrity regarding examinations or the originality of student work is raised. The committee thoroughly reviews the issue and makes a recommendation to the PNWC, via the Provost, regarding appropriate administrative or disciplinary action. Members of this board are the Dean of Academics (chair), Dean of the Center Naval Warfare Studies (as required), Dean of the College of Leadership and Ethics (as required), the Dean of Students (in cases involving U.S. JPME students), Dean of the College of Maritime Operational Warfare (in cases involving U.S. CMOW students), Dean of International Programs (in cases involving international students), Chair/Director of the concerned academic department (or designated representative), two at-large faculty members, and, if applicable, the appropriate Service advisor. At the discretion of the Provost, the Staff Judge Advocate or others deemed appropriate may be included.

(6) Learning Commons Committee. The Learning Commons Committee's purpose is to support shared governance and enable decision making among the departments occupying the Learning Commons. Goals include exploring where the different departmental missions and functions intersect and overlap; drafting policies and procedures that apply to common, shared spaces; and enhancing how learning takes place in the Learning Commons. Members include the NWC Library Director, Dean of Students, Writing and Teaching Excellence Center Director, and Bookstore Manager.

(7) Learning Commons Exhibitions Committee. The Exhibitions Committee is charged with overseeing all exhibitions in the Library and Learning Commons, including making procedural recommendations related to exhibition spaces, content, installation, and security. The Committee's primary goals are to monitor use of exhibit space and review proposals to create new exhibits or exhibition spaces. Members include NWC Library Director, Head of the Reference Department, NWC Museum Curator, Dean of Students, Writing and Teaching Excellence Center Director, and Bookstore Manager.

(8) Naval War College Foundation Awards Board. The Naval War College Foundation sponsors annual awards for an outstanding graduate from the NWC's Fleet Seminar Program. The board consists of the Dean of Academics; the Dean of the College of Distance Education; the Fleet Seminar Program Manager; and three academic faculty members from outside the College of Distance Education appointed by the Dean of Academics. The Dean of the College of Distance Education serves as chair.

(9) Faculty Awards Committee. The Faculty Awards Committee for civilian faculty members is a committee comprising senior faculty members appointed by the Provost who deliberate on and recommend recognition for outstanding members of the faculty through the awarding of Faculty Awards for Excellence and emeritus status. Recognition is made normally in conjunction with graduation ceremonies but may also be made in connection with retirement. This committee reviews and forwards to the Provost all recommendations received for emeritus status.

(10) Student Academic Committees. Student Academic Committees provide a forum for information, analysis, and feedback, a vital element of the ongoing dialogue and academic and operational decision making at the NWC. Two separate committees are formed, one for the College of Naval Warfare/Naval Command College and one for the College of Naval Command and Staff. Student members represent their seminars. Meetings are chaired by the student designated by the Dean of Students. The respective academic chairs represent the faculty. The Vice President/Chief of Staff, and the Dean of Students also attend. Minutes of all meetings are forwarded to the Dean of Academics.

(11) Graduate Degree Program Admissions Board. The Graduate Degree Program Admissions Board reviews all applications for admittance into the nonresident Graduate Degree Program and makes acceptance recommendations to the Dean of the College of Distance Education. The board is chaired by the Deputy Dean of the College of Distance Education and is additionally composed of the Graduate Degree Program Manager and a faculty representative from the residence faculty under the Dean of Academics. The board meets quarterly.

(12) Faculty Professional Development Committee. The Faculty Professional Development Committee serves as the reviewing body for professional development submissions. It meets at the behest of the Provost as needed. This committee consists of the Chairs of JMO, NSA, and S&P; the Chairs of the Departments of SORD, and War Gaming in CNWS; the Dean of the College of Leadership and Ethics; the Dean of the College of Maritime Operational Warfare; the Dean of the Center for Naval Warfare Studies; the Dean of Academics; the Dean of International Programs, the Dean of the College of Distance Education, who chairs the meetings; and one or more at-large senior members of the faculty whose expertise reflects the package(s) submitted. A Chair, Dean, or Director who submits an application for a candidate shall not have a vote on that submission.

(13) Ad Hoc Committees. Ad hoc committees consisting of senior administrative team members and faculty are formed to examine important College

issues or complete necessary tasks, (e.g., the selection of student prize recipients or accreditation self-studies. The Institutional Research Committee, which reports periodically on institutional research activity, is another example of such a committee.

(14) Faculty Promotion and Tenure Committees

(a) *Naval War College Faculty Promotion and Tenure Committee*. The College-wide Faculty Promotion and Tenure Committee is charged with making recommendations for faculty promotion to the Provost while acting in his or her capacity as the College Dean of Faculty. The committee will consist of nine professors (AD-07). Naval War College faculty who hold administrative positions are ineligible during the time they hold such positions.

The first time the committee is formed the Deans of Academics, the College of Distance Education, the Center for Naval Warfare Studies, the College of Maritime Operational Warfare, and the College of Leadership and Ethics will provide to the Provost a list of all faculty eligible to serve. From these lists the Provost will select faculty members to the committee from each of the deaneries. Five of the committee members will be appointed for one-year terms and the remainder will be appointed to two-year terms. Thus, committee membership will turn over at an annual rate of approximately 50 percent. Subsequently, the Provost may make adjustments to the length of appointment (one or two years) to maintain this rate. Yearly the Deans will provide a list of eligible faculty from which the Provost will select committee membership to fill vacating positions. Based on faculty size, the Dean of Academics, the College of Distance Education, the Center for Naval Warfare Studies, and the College of Maritime Operational Warfare will each hold two seats and the College of Leadership and Ethics one seat. Once their terms of membership have expired, individual faculty will again become eligible to serve after one year has elapsed. No faculty member may serve on the committee for more than a total of six years during his/her tenure at the College.

The committee will convene annually, with its first organizing meeting to take place no later than 1 March. Each year the committee will select co-chairs who must come from different deaneries. Each co-chair may serve as a co-chair for two consecutive years, but may not serve as a co-chair for more than two years during his/her tenure at the College. The co-chairs' responsibilities include ensuring that the committee meets the schedule of the calendar that the committee has published, convening and chairing the meetings, assigning committee members' tasks in support of the committee's proceedings, and communicating the committee's recommendations to the Provost. The committee will conduct its business with due attention to both transparency regarding process and faculty privacy; each member will sign a confidentiality agreement to protect the privacy of faculty. Internal committee discussions will proceed on the basis of non-attribution and letters of recommendation and endorsement are to remain confidential. The committee must have a minimum of seven members, including at least one of the committee's co-chairs, present to achieve the necessary quorum for the conduct of business. The committee will, as a matter of course, endeavor to reach all promotion decisions on the basis of consensus. However, for every promotion decision a formal vote will be

taken and reported to the Provost. A decision on promotion is reached by a majority of those present at the meeting, but must be joined by at least one member from three of the five deaneries. No proxy votes will be permitted for members who are not present. Only the numbers on each side of the vote will be reported; the vote of individual members will not be reported. By 1 July, the committee will recommend to the Provost that a faculty member be promoted or not promoted, providing a thorough written report that includes its reasoning and the criteria and evidence on which its decision is based. Such written reports will be consistent in form, content, and quality with those used by civilian institutions of higher learning. The report will include as an attachment the promotion package and letters of endorsement from Department Chair or Director and respective dean. Any faculty member not recommended for promotion will have the right of appeal as outlined in Chapter II. The committee will maintain written records of its proceedings. The Provost will provide administrative support to the committee as required, to include a secure storage space for its records.

(b) *Department Faculty Promotion and Tenure Committees*. Each Department Chair or Director nominates a committee, approved by the respective Dean. Each department faculty promotion committee will review and make recommendation for promotion or non-promotion of each departmental faculty member who submits a package by an annual deadline determined and published by the committee. The committee will provide a thorough written report that includes its reasoning and the criteria and evidence on which its recommendation is based. The committee will provide the Chair or Director with its written recommendation. The Chair or Director and Dean will include endorsements to the promotion package, which, regardless of the committee's recommendation, will then be submitted to the NWC Faculty Promotion Committee to meet its published schedule.

8. Academic Sessions and Formal Ceremonies

Faculty of the NWC have a year-round responsibility to maintain professional proficiency, cognizance of the needs of the Navy with regard to PME, and a maximum usefulness in fulfilling the missions of the College. Although the principal resident JPME academic session is of ten months' duration, from mid-August through mid-June, faculty members are in a duty status throughout the year. Faculty members are expected to be present for duty except when absent on approved official travel, annual or sick leave, leave without pay, approved professional development status, long-term training and educational programs, or approved consulting activity.

Faculty enjoy the privilege of managing their schedules to maximize productivity. Faculty also have the responsibility of ensuring that they are available to students, colleagues, and College administration. In recognition that faculty incur particular obligations as federal employees, the following guidelines are promulgated to normalize faculty routines while meeting DoD employment instructions. First and foremost, all teaching faculty must prioritize their teaching responsibilities and ensure they diligently fulfill their obligation to students. When free from teaching obligations or other official responsibilities, the College encourages faculty to work where they can be most productive for lesson preparation, professional research/development,

and engagement in professional settings. Appropriate work locations include the office, a home workspace, or other appropriate workspace in a local area as defined by the respective Dean or Department Chair based on mission requirements, but in no case more than eight hours from the College. [Note: this "tether" designed to permit faculty to work in Washington, DC but still return by the following day if recalled.]

a. <u>Calendar</u>

(1) Working Hours. Normal working hours for NWC administrators and staff are from 0730 to 1600 or 0800 to 1630 or as determined by the appropriate supervisor. Although faculty members work periods of comparable duration of eighty hours per pay period, they are not necessarily within a set schedule. Faculty members are available by appointment and at established class times but otherwise are not held to hourly schedules. Telework policies are addressed in a forthcoming NAVWARCOLINST.

During normal work hours faculty are expected to be responsive to email (within two hours) or notify the department if unreachable due to email/phone access issues. Unless on approved leave, faculty remain obligated to be present for teaching, departmental and committee meetings, teaching workshops, mandatory college-wide events, and other professional responsibilities as assigned. If an individual is not carrying out duties as prescribed in their MOUs or cannot be available during normal work hours, they are responsible for submitting leave in a timely manner. At the end of a pay period, individuals must certify their time and attendance.

(2) Telework. Per DoD Instruction 1035.01 and SECNAV Instruction 12271.1, any federal employee who works at an alternate work site (e.g. home office) must have an approved telework agreement in place (DD Form 2946). This applies to employees who (1) telework from time to time but not on a set schedule (situational telework), (2) telework on scheduled, specific days with at least two days out of the pay period in the regular office (regular and recurring telework), or (3) telework from an alternate worksite and do not physically report to work at least two days out of each pay period (remote telework). Telework is not a substitute for dependent care. Telework is a privilege and not a right; therefore, not every faculty member or position may be eligible for telework. Supervisors should consult with the NWC's telework coordinator in Human Recourses for guidance on determining telework eligibility. Prior to approving any telework request for full-time (i.e. remote) telework, the supervisor must first obtain approval from their supervisor and their respective Dean.

The supervisor or the employee can cancel the telework agreement. Telework agreements do not automatically renew; therefore, a new agreement must be executed every two years or whenever the faculty member's supervisor changes. Both the employee and the supervisor are required to complete telework training at least every two years, usually upon execution of the new telework agreement.

An approved situational telework agreement is not a blanket authorization to telework; therefore, the faculty member must request approval to telework every time he or she wants to telework. In cases where the NWC is closed (e.g. inclement weather), a faculty member who has an approved telework agreement is presumed to

be "telework ready" and is expected to work (taking into consideration safety, snow removal, power outages, etc.).

Employees who telework are required to accurately document their timecards in SLDCADA to reflect the hours of approved telework with the hour code "RG" and the appropriate environmental code ("TS" for situational; "TW" for regular/recurring or remote telework.

Those employees who plan to telework remotely (e.g. during period of professional development) should be aware that their assigned place of duty may affect their locality pay. Employees whose alternate work site may be overseas for their period of professional development are also responsible to meet any additional requirements at least 60 days prior to the beginning of their period of professional development. Examples of additional requirements include but are not limited to country clearance, training for country clearance, ISOPREP, etc.

(2) Holidays and Recesses. Federal holidays are observed as non-duty days at the NWC. In addition, certain days are considered academic recesses at the NWC. These are non-duty days for students only—staff and faculty report for duty as usual.

(3) Weekly Schedule. A weekly JPME schedule is published each Thursday for the following week. This schedule is the most specific, current, and detailed by virtue of its short range. It addresses specific time, place, uniform, lecture title/lecturer, security classification, and information appropriate to scheduled class and evening events. This schedule is distributed electronically. The calendars are available for viewing on the NWC intranet.

b. <u>Conferences.</u> The NWC sponsors conferences and symposia as an integral element of mission execution as well as hosting professional gatherings for external sponsors. There is a formal process for approval and scheduling of such events at the College. NWC staff and faculty are frequently expected to take a major role in scheduling, planning, and executing these events. In addition to conferences planned and executed by NWC faculty, many events similar to those noted below are scheduled annually or biennially, often during academic intersessional periods:

(1) Intersessional Conferences. As directed by the PNWC, intersessional conferences are held on topics such as professional ethics and civil-military relations, or other such topics that may be developed by the PNWC, Provost, or Deans.

(2) International Seapower Symposium. The biennial International Seapower Symposium, sponsored by the Chief of Naval Operations, brings together the heads of many of the world's navies in an effort to foster mutual understanding among maritime nations.

c. <u>Evening Lecture Series.</u> Specific lectures supported by the Naval War College Foundation are scheduled each academic year at the College to provide intellectual stimulation and broaden students' understanding of topics not generally included in the curriculum. The lectures are open to members of the NWC community as well as to the public and are generally required events for students.

d. <u>Commencement, Cloister, Convocation, and Change of Command Ceremonies.</u> These events constitute an important component of the formal NWC environment. Students, staff, and faculty are expected to attend unless on approved leave. Families and selected members of the public are also invited to attend. The senior (longest serving) civilian member of the faculty shall be designated as faculty marshal and shall lead the faculty in formal academic processions and other such activities as may be considered appropriate. Detailed instructions, including academic attire, uniform requirements, ceremonial arrangements, and action requirements are distributed prior to each event.

9. Command History and Preservation of Naval War College Historic Buildings, Records, Documents, Rare Books, Art, and Artifacts.

The NWC recognizes its ongoing responsibilities, as outlined in official instructions from higher authority, to preserve its historic buildings, maintain and manage effectively its official records, and its historical collections of archives, manuscripts, art, rare books, imprints, and historical objects.

In 2017, The NWC established the John B. Hattendorf Center for Maritime Historical Research (HHC) to add emphasis to the importance of these tasks and to facilitate responsible and active College-wide management for them as a responsibility of the PNWC. The HHC is the College's central coordinating agency for this entire range of matters. In accordance with the Navy's and the College's established records management program, the HHC is the College's repository for classified and unclassified official documents of permanent value.

As official government records or documents of lasting value generated by administrative units, offices, programs, departments, students, faculty, committees, conferences, and other components of the NWC should not be destroyed, but, when no longer needed for daily reference, should be sent at regular intervals to the HHC for the attention and further action as appropriate by the HHC's Head Archivist and the NWC Records Management official. Members of the College faculty and staff are encouraged to leave their personal and professional papers to the HHC as historical records for future research.

The Vice President/Chief of Staff, Provost, Deans, Department Chairs and Directors and Department Heads will work with the Director, HHC and the Head Archivist to establish those items deemed pertinent for permanent retention and preservation. Similarly, the NWC Library's rare books, imprints, and special collections are now subsumed under the HHC.

The NWC Library will forward to the HHC any further materials in those categories for permanent retention, but, to facilitate research and wider knowledge of the location of these materials such holdings in the HHC are included in the NWC Library catalog. The HHC will act as the central coordinator for the loan or transfer of all rare historical materials to or from other commands and organizations.

Rare materials of any kind that are found or offered as a gift or loan to any official or department of the College will be passed directly to the Director, HHC, for action in accordance with current directives and polices regarding rare and historical

materials and, as appropriate, the procedures for handling gifts and loans. The Director, HHC, will initiate the proper procedures to handle such matters as well as coordinate arrangements for them within the College and determine the allocation of items to the appropriate collection: museum, rare books, manuscripts, or archives.

In accordance with the CNOs' requirement to submit an annual historical operations report, and to most appropriately document the ongoing history of the NWC, the Director, HHC, will appoint a member of the HHC staff or faculty to serve in the role of Command Historian. Under the supervision of the Director, HHC, and in coordination with the archives section of the Center, the Command Historian will prepare the annual Command Operations Report as required by current OpNav instructions and complete it in a timely manner for the PNWC, to forward to CNO (DNS-H).

CHAPTER II

FACULTY, STAFF, AND ADMINISTRATION

1. Faculty Duties, Responsibilities, and Rights

a. Duties. The efforts of the faculty are the principal means through which the College fulfills its missions, functions, and tasks. The study of war, its prevention, and the statesmanship involved with both requires a faculty committed to the study of the integration of all the elements of national power, with an emphasis on maritime military power, in joint, interagency, intergovernmental, and multinational environments. The duties of NWC faculty members are (1) teaching in all NWC courses of instruction and on an occasional basis in support of other Navy and DoD educational programs at Naval Station Newport; (2) research, analysis, and gaming; (3) curriculum development; (4) professional development and contribution; and (5) service to the department and the College, which may entail administrative duties or other collateral duties.

(1) Teaching and Curriculum Execution. Faculty members are assigned to specific academic departments, colleges, divisions, or programs. For those assigned to teaching departments their duties include the following:

(a) Conducting classes, seminars, and lectures, and performing administrative duties in support of the curriculum at a graduate-level standard of instruction.

(b) Reading, grading, and providing formative and summative feedback on student assignments, including essays, case-study reports, examinations, and research papers.

(c) Evaluating student contribution in seminar discussions, in those departments where oral participation is graded.

(d) Conducting tutorials with students; one-on-one educational interaction between faculty members and students has long been an important part of the instructional methods of the NWC.

(2) Research, Analysis, and Gaming. Faculty members assigned to the CNWS, as well as other NWC faculty, have duties that include the following:

(a) Developing and conducting research and analysis projects—either tasked or self-initiated.

(b) Participating in research, analysis, and gaming endeavors initiated by other faculty members and departments.

(c) Assisting and overseeing NWC student-conducted research and analysis.

(d) Developing and conducting games.

(e) Disseminating the results of the research and analysis projects and games as required and appropriate, including through publication.

(3) Curriculum Development. The faculty is responsible for curriculum development. Faculty members will contribute to the curriculum by designing instructional objectives, writing or revising syllabi, preparing or assembling readings and case studies, and identifying appropriate measures of student performance. Curriculum development is informed by student evaluations of learning, external guidance, and faculty judgement.

(4) Professional Development and Contribution. To maintain currency and enhance expertise in their fields of competence, faculty members are expected to:

(a) Attend professional conferences, engage in research, and, where appropriate, publish the results of that research. Faculty assigned to primarily administrative positions are still expected to participate in professional development as their duties allow.

(b) Keep current on the special needs of the Navy in joint and naval professional military education.

(c) Maintain liaison with other military organizations or Services, as required to maintain currency in areas of expertise.

(d) Conduct faculty development in their areas of expertise.

(5) Service to the Department and Naval War College. Faculty members assist their chain of command in meeting administrative and other requirements, such as:

(a) Supporting other academic endeavors by preparing and delivering lectures and participating in panel discussions.

(b) Teaching in the Electives Program.

(c) Providing instruction in other Navy and DoD instructional programs at the NWC, Naval Station Newport, or elsewhere as required. These programs include, but are not limited to, the College of Distance Education, Surface Warfare Officers School, Naval Academy Preparatory School, Officer Training Command, Naval Leadership and Ethics Center, and the Senior Enlisted Academy.

(d) Attending official functions, as required.

(e) Providing direct support to the CNO, the combatant commanders, fleet commanders, and other senior military commanders consistent with their fields of expertise, as directed by their chain of command.

(f) Escorting: All invited guests of the College are guests of the PNWC. To ensure that official visitors are extended every possible courtesy, an NWC escort is assigned to each three- or four-star (or equivalent) guest. Faculty members may be assigned to such duties by the person in their chain of command overseeing the official visit. The duties and responsibilities of an official NWC host are defined

in the *Escort Officer's Handbook,* which may be obtained from the Office of Protocol and Events.

(g) Acting as command duty officer (CDO): Faculty military officers in grades O-3 to O-5 (not including the Aide to the PNWC) are assigned as the CDO on a periodic, rotating basis. Duties and responsibilities for the command duty officer are defined in NAVWARCOLINST 1601.1 (series) and 1601.5 (series).

(h) Serving on essay competition panels: members of the faculty may be asked to sit as judges in refereed essay competitions.

(i) Engaging with media when tasked by the NWC.

(j) Serving as members on College committees as assigned.

b. Academic Ethics. The central functions of the NWC as an academic and research institution—learning, teaching, and research—must be characterized by reasoned discourse, intellectual honesty, mutual respect, and openness to constructive change. By accepting a faculty position, an individual neither surrenders rights nor escapes fundamental responsibilities as a citizen, but acquires additional rights as well as responsibilities to the NWC community.

(1) General Responsibilities

(a) *Scholarship.* A scholar or practitioner who is a member of the faculty, recognizes a primary responsibility to act according to professional standards. Scholars and practitioners practice intellectual honesty and exercise critical self-discipline and judgment in using, advancing, and transmitting knowledge. As employees of an educational institution in DoD, faculty members have obligations that go beyond those expected of professors in civilian educational institutions. While the leadership of the NWC encourages faculty members to write, make presentations, and give interviews in any forum, they shall not reveal classified information. In expressing opinions they must issue explicit disclaimers that they do not speak for the U.S. Government, DoD, DoN, or the NWC. Faculty members who are active-duty military officers are subject to the Uniform Code of Military Justice and must refrain from speech that is disparaging or contemptuous of public officials, insulting toward superior officers, harmful to good order and discipline in the military, or harmful to the interests of the United States.

(b) *Teaching.* A faculty member encourages the pursuit of learning in students and, like them, upholds high professional standards. Respecting students as individuals, the faculty member serves as their intellectual guide and counselor and seeks to establish with them a relationship of trust. The faculty member makes every effort to foster ethical conduct and to ensure that the evaluation of students' academic performance reflects their true achievement in the field of study. A faculty member also protects the academic freedom of students and serves as an example of this principle by ensuring that they are free to voice opinions openly and to exchange ideas without interference, consistent with the requirements to protect and safeguard classified information and in keeping with the Chatham House Rule outlined in

paragraph 7, Other Academic Policies below. The faculty member shall also ensure that students recognize that responsibility comes with academic freedom.

(c) *Collegiality*. As colleagues, faculty members have obligations that derive from common membership in the community of scholars. Such persons respect and defend the free inquiry of their associates. In exchanging and debating ideas, they show due respect for the opinions of others. They acknowledge their academic responsibility and strive to be objective in their professional judgment of colleagues. They accept their share of responsibility for fulfilling the mission, functions, and tasks of the NWC.

(2) Individual Responsibility. In addition to general ethical standards of the academic profession, there are specific responsibilities that devolve on the faculty member who accepts a position at the NWC as a government employee:

(a) A faculty member will clearly state the course goals and will inform students of testing and grading systems, which should be intellectually justifiable and consistent with the rules and regulations of the NWC.

(b) To ensure that students will receive what is specified in the syllabus, a faculty member will maintain a clear correspondence between the initial description and the actual conduct and content of a course.

(c) A faculty member will plan and regulate class time with an awareness of its value for every student, and will meet with classes as dictated by the schedule.

(d) Faculty members will ensure liberal availability to students based on the requirements of the academic calendar.

(e) Even as a faculty member promotes academic freedom by striving to develop among students respect for others and their opinions, he or she will seek to protect students from irrelevant and trivial interruptions or diversions.

(f) Faculty members will also strive to protect freedom of inquiry and expression among faculty colleagues.

(g) Ad hominem attacks on professional colleagues, gossip, and indiscriminate criticism are inappropriate.

(h) Necessary critiques of the College or individuals should be reasoned, informed, and directed whenever possible through appropriate administrative channels.

(i) Each faculty member shall accept responsibility for the shared governance to help the NWC function smoothly as a vigorous institution. That obligation includes serving on committees, accepting an equitable burden of administrative duties, and working cooperatively with the College's leadership to further all its goals.

(j) While in the classroom and while lecturing, faculty will refrain from using profanity, coarse language, and inappropriate humor.

(3) Rights to Academic Freedom. The NWC endorses the key elements of the 1940 *Statement of Principles on Academic Freedom and Tenure with 1970 Interpretive Comments* issued by the American Association of University Professors, as quoted in the following three items:

(a) "Teachers are entitled to full freedom in research and in the publication of results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution."

(b) "Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment."

(c) "College and university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, exercise appropriate restraint, show respect for the opinions of others, and make every effort to indicate that they are not speaking for the institution."

(4) Enforcement Procedures. Faculty members who experience a lapse of ethical behavior remain accountable to the chain of command. Any faculty member may initiate complaints about alleged violations of this subsection. Such complaints should be brought to the attention of the appropriate Chair, Director, or Dean. The Deans shall provide for confidential representations regarding such violations, unless such violations become charges of discriminatory practice. Charges of discriminatory practice may also be referred to the NWC Equal Employment Opportunity (EEO) Committee.

(5) Grievance Procedures. A general overview of grievance procedures is contained in section 8 below (page 93). There are also appeals processes related to specific academic decisions, such as non-reappointment of a civilian faculty member who has completed more than six years of continuous service, discussed later in this chapter.

c. <u>Standards of Conduct.</u> All U.S. Government employees must follow the ethical standards of conduct for all executive branch employees, which are largely found in Title 5 of the U.S. Code and Title 5 of the Code of Federal Regulations. All DoD personnel must also adhere to the amplifying guidance found in the Joint Ethics Regulation (JER) (DoD 5500.7-R) and other authority. Naval personnel, including civilians, shall not directly or indirectly use, take, dispose of, or allow the use, taking, or disposing of government manpower, property, facilities, or information of any kind, including property leased to the government, for other than official government business or purpose. An individual utilizing any government resources for private

interests is violating the ethical standards of conduct in the Joint Ethics Regulation. Personnel who have reason to believe that the rules of conduct have been violated must report the matter to either their immediate supervisor or the Staff Judge Advocate (SJA). If faculty members have questions regarding an action, activity, or behavior that might involve the ethical standards of conduct in the Joint Ethics Regulation, they shall seek guidance from the SJA as soon as practicable prior to taking the action or engaging in the behavior.

2. Categories of Academic Appointments

There are different federal personnel policies for civilian faculty, civilian staff, and military personnel. These different policies may sometimes give rise to perceptions of preferential treatment, most likely among personnel new to government service. An orientation program and established instructions and procedures are available to resolve in an efficient manner those few problems that do arise in this area. Federal government regulations limit the College's options in regard to salary, promotion, and other civilian personnel policies.

a. Civilian Faculty. Civilian faculty members hold "excepted" federal-service positions rather than competitive federal-service positions. The office of Personnel Management provides excepted service hiring authorities when it is not feasible or not practical to use traditional competitive procedures. NWC faulty are hired under Schedule A, excepted appointments, and may be made without competitive examination. In addition, an excepted-service employee has no right to employment beyond the term of his or her memorandum of understanding (MOU). For many other purposes, the conditions of employment are essentially the same as those of the competitive service. Thus, federal-service provisions that pertain to performance rating, annual and sick leave, health benefits, retirement, insurance benefits, and incentive awards also apply to civilian members of the faculty. Over time, certain best practices regarding such things as flexible work hours, professional development opportunities, and honorary academic appointments have evolved at the federal academic institutions and are observed at the NWC. Beyond these, civilian professors are subject to the laws, regulations, and directives applicable to all Navy civilian personnel. Applicable federal-service provisions are detailed as appropriate throughout this *Faculty Handbook*. For specific issues, please consult the Human Resources Office or the Office of the General Counsel.

(1) Legal Basis for Appointments. Statutory law provides that the Secretary of the Navy (SECNAV) may employ as many civilians as professors, instructors, and lecturers at the NWC as he/she considers necessary, and that he may fix their compensation as he/she deems appropriate. See Section 7478, Title 10, U.S. Code, for these provisions. Further explanation of the authority to hire civilian faculty members may be found in various provisions of the Code of Federal Regulations (CFR). The CFR states that the Office of Personnel Management (OPM) has final authority to determine whether a position is in the competitive or excepted service, NWC faculty positions have salary scales that are administratively determined (AD). SECNAV Instruction 12534.1C implements the Secretary's authority to administratively determine an appropriate pay schedule for the faculty. It establishes

the Naval Faculty Schedule, which applies to the NWC and the other colleges under the Secretary's authority. DODI 1402.06 establishes a standard for recruiting and retaining high quality teacher-scholars and executive level administrative faculty at post-secondary educational institutions and ensuring their high performance. When a faculty member is hired, an SF 50 must be generated to document the personnel action. One of the administrative requirements for a completed SF 50 is to provide an identification of the position's classification series. Faculty positions are placed in the General Education and Training Series, 1701. This series covers education and training positions that require full professional knowledge of a subject field. The 1701 Series includes instructors at a college.

(2) Process for Appointments. The PNWC has delegated authority to the Provost to recommend approval or disapproval of appointments, reappointments, and promotions of the excepted-service faculty. Nothing herein shall in any way be construed to limit the authority and discretion of the Provost and the PNWC regarding appointments or extensions of appointments. Nominations for appointments and recommendations for promotion, tenure, and/or reappointments are submitted by the respective Department Chair or Director through the respective Dean to the Provost and the PNWC.

(a) *Recruitment of Civilian Faculty*. As a matter of practice, the NWC undertakes systematic national searches to recruit applicants for civilian-faculty positions. It places advertisements in venues appropriate for reaching suitably qualified candidates, such as the *Chronicle of Higher Education*, newsletters and websites of pertinent academic disciplines, and major newspapers and nonacademic journals with intellectually oriented readerships. Advertisements are also placed in the *Affirmative Action Register*, the *Journal of Blacks in Higher Education*, and the *Tribal College Journal*, and with Women in International Security, and the American Association of Hispanics in Higher Education to assist in identifying qualified minority and female candidates to help achieve diversity within the faculty. In addition to the external search, every effort is made to ensure that any potential internal candidate is aware of an anticipated vacancy. All recruiting and selection strategies are handled in a manner consistent with merit promotion principles.

(b) *Selection among Applicants*. Applicants are first evaluated by formal search committees composed of civilian and/or military faculty members who follow standard academic best practices, including confidentiality, thorough investigation, and equal treatment. It is the responsibility of the Deans to establish Departmental search committees that are diverse and normally include one member from outside the department. The most promising candidates may be invited for interviews. These interviewees may also be asked to give short, formal presentations often known as "job talks." Faculty members other than those on the formal search committees are sometimes encouraged to offer their assessments of the candidates' job talks. The Department Chair, Director, or search committee chair is responsible for submitting a recommendation through the appropriate Dean to the Provost, who makes the decision on the appointment.

(c) *Rank at the Time of Initial Appointment*. Appointments and titles are conferred by the Provost on the recommendation of the responsible Department Chair, Director, or Dean. The NWC primarily uses the following academic ranks: instructor, assistant professor, associate professor, and professor.

Each member of the faculty will bring his or her own unique combination of academic and professional skills to the College and each faculty member's contributions will vary according to his or her skills, duties, and opportunities. Academic ranks at the NWC reflect the professional accomplishments and responsibilities of its faculty members. Academic ranks are initially determined based on the individual's accomplishment and achievement as defined by written criteria developed by the leadership of each department or unit of the College within the following guidelines. For the purpose of determining rank at initial appointment, consideration shall be given, but not limited, to the following criteria: academic degrees and evidence of previous scholarship; relevant military and professional experience; previous teaching experience; or prior academic rank.

(d) *Citizenship*. In exceptional cases, the U.S. citizenship requirement may not apply to certain civilian faculty members appointed to excepted-service positions at the NWC. An appropriate visa, however, must be obtained prior to appointment to service at the College for all individuals who are not U.S. citizens or nationals. The appropriate Dean, with the assistance of the Human Resources Office, is responsible for coordination of all visa requests prior to selection of noncitizens for faculty positions at the NWC. In all cases, it remains the responsibility of the individual being hired or retained to ensure that his or her visa remains current and valid. Failure to discharge this responsibility is of itself sufficient grounds for cancelation of the appointment of the faculty member concerned.

(e) *Eligibility Form.* An Employment Eligibility Verification Form, INS Form I-9, must be completed by all civilian appointees at the time of initial appointment.

(f) *Effective Dates of Personnel Actions.* Appointments will normally become effective on the first day of the first full pay period that employment, promotion, or step-pay raises commence.

(g) *Trial Period*. The initial appointment for all excepted-service civilian faculty employees encompasses a one-year probationary or trial period, regardless of the length of the original appointment.

(h) *OF306 Declaration for Federal Employment*. Completion of the OF306 Declaration for Federal Employment is required.

b. <u>Military Faculty</u>

(1) Nomination to the Faculty. Military members of the faculty with the rank of Lieutenant Commander, Commander/Lieutenant Colonel or Captain/Colonel (O-4, O-5, O-6) are nominated by their respective Service branches. The Air Force, Army, Coast Guard, Marine Corps, and Navy each have a specified number of billets to staff, and typically nominate officers who are War College graduates and who

possess applicable command and staff experience and appropriate warfare qualifications. To be assigned to duty on the NWC faculty, nominees must be accepted by the appropriate Director, Departmental Chair, Deans, the Provost, and the PNWC. Military faculty members typically serve two or three years before being reassigned.

(2) Military Chain of Command. Due to the unique organization and missions of the NWC, it is necessary to define clearly the military chain of command for assigned personnel and to clarify related administrative procedures and support services. The military chain of command for officer personnel is through their respective Division Heads, Directors, Department Chairs or Directors, Deans, Provost, and the Vice President/Chief of Staff to the PNWC. The chain of command for non-Navy officers runs through their respective Service Advisors to the PNWC. Official military personnel action correspondence is addressed via the PNWC, so that an appropriate command endorsement may be included. Requests from staff and faculty for special pay, advance pay, or advance BAH (basic allowance for housing) are submitted via the chain of command to the Vice President/Chief of Staff for approval or disapproval.

(3) Competing for a Civilian Position. A faculty member retiring from active duty in the Armed Forces of the United States may apply for any advertised vacancy to be considered for subsequent appointment as a civilian member of the NWC faculty. Retiring or separating military personnel who are still on active duty must comply with the VOW Act application restrictions limiting applications to within 120 days of separation from the Service. Military personnel should consult with the Human Resources Office for advice on the requirements of this complex statute. In addition, faculty members contemplating a transition from military to civilian status should also be aware that Section 3326 of Title 5, U.S. Code, places restrictions on former military personnel who retire and subsequently accept federal employment in a civilian position. In all cases of this nature, final approval rests with the PNWC.

c. <u>Department Chairs, Directors, and Other Administrative Positions</u>

On behalf of the PNWC, the Provost appoints civilian faculty as Deans, Department Chairs, endowed chairs, and other key administrative personnel. Appointments to these positions are normally for a four-year term and may be renewed no more than once. An appointee desiring reappointment for a second term should submit a formal, written request to the Provost, through the appropriate Dean, at least six months in advance of the expiration of his or her term. The maximum term of these appointments is eight years, whether consecutive or nonconsecutive. This term limitation does not apply to the College's Deputy Deans or Associate Deans, the Director of the Hattendorf Center for Maritime Historical Research, the Chair of the Stockton Center for Study of International Law, the Library Director, the Director of Institutional Effectiveness, the Director of the Writing and Teaching Excellence Center, the Director of the Advanced Strategy Program, the Director of Alumni Programs, and civilian Department Executive Assistants. The Departmental Chair of Joint Military Operations; the Dean of Students; Director, AAT; the Directors of the Naval Command and Naval Staff Colleges, Deputy of the Center for Naval Warfare

Studies, and the Deputy of the War Gaming Department are appointments filled by military officers, usually senior naval officers, who normally serve tours of three years or less in these positions.

d. <u>Special Appointments</u>

(1) Librarians. The Director, Naval War College Library, is an excepted-service position and considered to be a member of the faculty. All other professional librarians and members of the library staff are appointed to competitive federal-service positions.

(2) Government-Service Faculty. Government-service faculty members come from various agencies, including the State Department, Maritime Administration, and the U.S. Intelligence Community, and serve as representatives of their respective agencies to the Provost. These faculty members are nominated by their agencies and accepted by the Provost. Promotions within their services are the prerogative of their parent agencies.

(3) Emeritus. An honorary title, which shall consist of the academic rank followed by the word *Emeritus*, may be conferred on a civilian member of the faculty upon retirement.

(a) The title will be conferred only upon those civilian members of the faculty who have rendered long and distinguished service to the NWC, above and beyond the normal requirements of duty. The criteria for this title thus include both longevity of service and quality of service. Qualitative elements of service recognized may be some combination of teaching effectiveness, scholarly accomplishment, and significant involvement in and contribution to the missions, functions, and tasks of the NWC.

(b) Department Chairs and Directors may initiate the process for the conferral of emeritus status when a civilian faculty member retires. If they consider the retiree to be deserving of the honor, they will forward a recommendation to the appropriate Dean. Upon recommendation of the Dean, the Provost will appoint senior faculty members to the Faculty Awards Committee to consider the recommendation. If the recommendation is approved by the committee, it is then forwarded to the Provost and the PNWC for a final decision.

(c) The conferring of emeritus status shall involve no increase in pay, retirement annuity, or perquisites in addition to those normally considered an entitlement upon retirement.

(d) Each department is responsible for the management and support of the research or other activities of its emeritus faculty members. Departments may designate office space for use by their emeritus faculty members. Such office space, when available, should only be allocated in cases where the professor emeritus is likely to maintain a high standard of scholarly productivity. A department may not expend funds or designate staff members to support the activities of a professor emeritus without prior approval of the respective Dean. Such approval will be given

only in exceptional circumstances and after a detailed review of the written justification for such support.

(e) Emeritus faculty members may perform volunteer services in research. Consistent with applicable DoD and Navy regulations, they may be afforded a base-access pass, an NWC picture badge, NWC Library privileges, and access to NWC e-mail. A current security clearance may be maintained consistent with DoD directives.

(f) Should the emeritus faculty member accept nongovernmental employment or other affiliation that places him or her in an ethical conflict of interest (or that appears to create such a conflict), the emeritus status will be suspended pending an opinion by the College's SJA and approval by the Provost.

(g) Professor emeritus is a lifetime title. However, the ability of NWC to provide office space will be reviewed annually. Professors emeriti who move beyond daily commuting distance of the NWC, or its satellite locations in Monterey and Washington, D.C. may be required to relinquish their base-access passes and return their NWC picture badges to the NWC Security Office.

(4) Adjunct. Part-time adjunct faculty members are normally associated only with CDE or Electives Programs although others may exist in broad support of the College.

(a) Adjunct positions are short-term, contractual agreements for a specific service. The contracts specify the obligations, duration, and price attaching to that service. They are renewable, but they do not involve a continuing obligation on behalf of the NWC.

(b) Adjunct selection for CDE and Electives Programs will be in accordance with the NECHE standards, which require that adjunct faculty members be highly qualified in the disciplines in which they will be asked to teach. Whenever possible, positions will be filled by individuals who have earned their terminal degree or possess a military background required to meet PAJE accreditation standards.

(c) Those adjunct faculty members under contract to provide educational services will be required to obtain CCR/DUNS numbers and all other certifications in accordance with existing federal contracting law.

(d) The contracts of adjunct faculty members will be administered by their NWC hiring entity. Normally, this will be the Dean of the College of Distance Education. Screening procedures for adjunct selection subsequent to an open search in the geographic area where they will be employed will be administrative in nature and based on position requirements and candidate qualifications.

(5) Endowed Chairs/Named Professorships. The NWC follows a long tradition at institutions of higher education in establishing Chairs/Professorships that give special recognition both to professors of distinction and to individuals for whom a Chair/Professorship is named.

(a) Endowed chairs. There is an active program of endowed chairs. These chairs are appointed for a period of four years (with a potential for renewal). The terms and conditions of the endowment are through the Naval War College Foundation. Designated chairs have the responsibility for providing leadership in the planning, development, and delivery of programs towards the achievement of the highest possible levels of excellence in the teaching, research, and service activities in their designated focus area at the College. This effort includes networking and establishing professional partnerships to broaden the scope of service and learning activities at the College, and building strategic paths for organizational engagements in the field for the College.

(b) Named professorships were instituted to better link the NWC to wider communities of interest and to inform curriculum development. These appointments are not term limited. When funding is available, and at the discretion of the Provost, funds may be provided to be used at the discretion of the professor for travel, guest speakers, and the like.

(c) The Ernest J. King Distinguished Visiting Professor of Maritime History under the HHC brings leading scholars to the NWC to carry out research projects and other related duties.

(6) Other Research Appointments

(a) *Temporary*. Temporary research assignments, in association with the Center for Naval Warfare Studies, may be granted to a civilian faculty member by the Dean of Academics at any point in a faculty member's service. The duration of such assignments will normally be one year or less. These requests may be granted when it is determined by the Dean of Academics that such dedicated research is required by emerging needs of the NWC.

(b) *Visiting Research Scholars*. This designation, which includes DoD-sponsored Minerva Scholars, is for researchers who are not part of the faculty. It includes those whose research is financially supported, either partially or wholly, by outside sources or by CNWS. Prospective scholars under this program are typically from U.S. or foreign educational institutions, U.S. or other government agencies, or foreign navies. Candidates must submit a formal application to the Provost, via the department expected to supervise the substantive aspect of the research, the Dean of the Center for Naval Warfare Studies, or the Dean of Academics. A final proposal should provide details of a research plan and a timetable for completion as well as an explanation of, or proposal for, financial support. With the approval of the PNWC, researchers who have their own means of financial support may conduct long-term independent research under the auspices of the College.

(c) *Nonresident Research Fellows.* This category recognizes the continuing relationship between the institution and carefully selected non-faculty scholars. This designation differs from the previous category in that participants need not be in residence at the College during the period of appointment. This designation includes those whose research is financially supported, either partially or wholly, by outside sources or by CNWS. Prospective scholars under this program are typically

from other U.S. or foreign educational institutions, U.S. or other government agencies, or foreign navies.

Prospective nonresident research fellows may be nominated by resident faculty, through their chain of command, to the Provost, or individuals may apply to the Provost on their own initiative. The basis for nomination and acceptance may be on the basis of a specific research project proposal or a determination that the particular scholar's expertise and focus of research is of continuing interest to the College. Designation as a nonresident research fellow shall be for a period of two years and shall be renewable.

If the nomination is to be made on the basis of a specific research project, candidates must submit a formal application to the Provost, via the department expected to primarily supervise the research. A final proposal should provide details of a research plan and a timetable for completion as well as an explanation of, or proposal for, financial support. With the approval of the PNWC, researchers who have their own means of financial support may conduct long-term independent research under the auspices of the College. It is expected that they will conduct research in line with, and supportive of, ongoing NWC research projects from their home institutions and collaborate with the relevant NWC departments as required.

Nonresident research fellows, however, may come to Newport as necessary to participate in organized events (workshops, conferences, and so forth) to present their research to NWC faculty and students and/or to undertake collaborative research activities with their sponsoring departments as specified in their approved research plans.

(d) *Edward S. Miller Research Fellowship in Naval History*. Annually, the Naval War College Foundation awards one competitive grant to the researcher with the greatest need and who can make the optimum use of the research materials for naval history located in the College's archives, Naval Historical Collection, Naval War College Museum, and Henry E. Eccles Library. Further information on the manuscript and archival collections and copies of the registers for specific collections are available on request from the Director of the Hattendorf Center. The competition is managed for the Naval War College Foundation by the Director of the Hattendorf Center and the selection is made by a faculty committee headed by the Director of the Hattendorf Center. The recipient will be a research fellow in the College's Hattendorf Center, which will provide administrative support during the research visit. Each applicant submits a detailed research proposal that includes a full statement of financial need and comprehensive research plan for optimal use of NWC materials, curriculum vitae, at least two letters of recommendation, and relevant background information to the Miller Naval History Fellowship Committee, Naval War College Foundation, 686 Cushing Road, Newport, RI 02841-1207, by 1 August each year. Employees of the NWC or any agency of the DoD are not eligible for consideration; EEO/AA regulations apply. In recent years the grant has typically been a thousand-dollar award made to a graduate student in history.

(e) *The Hattendorf Prize for Distinguished Original Research in Maritime History*. In 2010, the Naval War College Foundation endowed the Hattendorf Prize. The donor intends that the fund and prize recognize Professor John B. Hattendorf, D.Phil., L.H.D., F.R.Hist.S., and his lifetime legacy of scholarship and service at the NWC. The Hattendorf Prize is an international award made for distinguished academic achievement in publishing original contributions to understanding maritime affairs in history that contribute to a deeper historical understanding of the broad context and interrelationships involved in the roles, contributions, limitations, and uses of the sea Services. The Hattendorf Prize consists of a citation, a specially designed bronze medal, and a cash award of about ten thousand dollars. Hattendorf Prize laureates are not to be limited to U.S. citizens or scholars studying within the U.S. Navy. Established to recognize world-class contributions to maritime historical research, the Hattendorf Prize is intended to contribute to the College's academic role in international engagement scholarship and service to the U.S. Navy. The prize, which will be awarded at intervals of two or more years, carries with it a requirement for the laureate to deliver the Hattendorf Prize Lecture at the NWC, which, identified as such, is to be considered for publication in the *Naval War College Review* or another professional historical journal.

(7) *Postdoctoral Fellowships.* The NWC may award postdoctoral fellowships for up to two years for the purpose of teaching and/or research. Postdoctoral fellowships will normally be awarded following a national search. The purpose of the postdoctoral fellowships is to bring to the College junior civilian scholars and expose them to how the NWC teaches its curriculum or conducts its research. It is anticipated that postdoctoral fellows will be of such quality to be able to find positions at top civilian and PME institutions and in the process develop enduring relationships with the College.

3. Evaluations, Reappointments, Promotion, Tenure, and Term of Employment

a. <u>Evaluations.</u> Faculty members undergo two regular types of evaluation in the course of an academic year at the NWC. After each term of instruction, the teaching performance of faculty members who have taught a course and/or an elective will be evaluated by their students. At the end of each year of instruction, the overall performance of faculty members will be evaluated by their Department Chairs or Program Directors. In addition, on occasion, and as coordinated between the faculty member to be evaluated and his/her Chair or Director, the teaching of a faculty member will receive a formal or informal evaluation by another faculty member after observation of classroom performance.

(1) Civilian Faculty Members

(a) *Defense Performance Management and Appraisal Program*. Civilian faculty members are evaluated annually in accordance with standard procedures established in accordance with the Defense Performance Management and Appraisal Program (DPMAP). The annual appraisal period is 1 July to 30 June or, in the case of initial appointments, from the beginning date of appointment until 30 June. At the beginning of the appraisal period, faculty members are apprised of the critical

elements and performance standards by which they will be assessed—for example, teaching and core curriculum execution, curriculum development, professional development and contribution, research, analysis, outreach, and service to the department and NWC. Toward the middle of the year there is a progress review. At the end of the year, Department Chairs, Directors, or other supervisors make full written assessments of the performance of each of their faculty members. Faculty members have the right to grieve performance appraisals and other matters relating to the appraisal program in accordance with Department of the Navy Administrative Grievance Procedures.

(b) *Teaching Evaluations.* The Dean of Academics, the Electives Program, CMOW, CLE, and CDE each use various methods to evaluate teaching proficiency. The College uses robust evaluative tools and strives for increasingly common survey instruments developed in conjunction with the Professor of Assessment, the Associate Provost, and the Deans of Academics and College of Maritime Operational Warfare. In addition to written forms of evaluation, direct observation of teaching performance may take place. These occasional visits may be coordinated (but not required to be coordinated) between the relevant Chair/Director and the faculty member to be observed. These visits serve to aid curriculum development, enhance pedagogical skills, and otherwise help maintain the high quality of the instructional environment at the NWC. Department Chairs and Directors may elect to incorporate the results of teaching evaluations into the annual overall appraisal of a faculty member's performance. The College of Distance Education, with its extensive program of periodic site visits to Fleet Seminars, makes the most formal use of direct observation of one faculty member's teaching proficiency by another faculty member, although in residential departments that use a team-teaching approach there is much informal observation by faculty colleagues. On occasion, a lecture or a seminar may be visited by senior administrators or the PNWC. Such monitoring is not meant to encroach on academic freedom and is not used for purposes of evaluation.

(2) Military

(a) *Teaching Evaluations*. Military officers on the teaching faculty participate in the same teaching evaluation process as do civilian faculty members.

(b) *Fitness Reports*. Fitness reports on military faculty members are submitted periodically and upon detachment of officers or reporting senior. Normal due dates are specified by individual Service directives. The PNWC signs FITREPS for Captains and O-6s while the first Captain or O-6 in an individual's chain of command will sign subordinate FITREPS. The appropriate Dean is responsible for coordinating and processing Navy reports. The Service advisors coordinate preparation of faculty and staff evaluations for the members of their respective Services, in conjunction with the Department Chair.

b. <u>Policies Governing Appointment, Promotion, Tenure, Reappointment and Non-reappointment of Civilian Faculty Members</u>

(1) General Guidelines Regarding Promotion, Tenure and Reappointment

(a) The NWC values and seeks to attract, sustain, and develop a blended and diverse faculty in order to promote the integration of academic scholarship with practical experience in furtherance of its missions. Regardless of academic or professional background or previous achievements upon initial appointment, all faculty members are expected to retain currency, and to show continued maturation in, and engagement with, their areas of expertise as conditions of academic promotion and tenure. Awarding of tenure or promotion to a more senior academic rank are not rights of longevity at the NWC, but instead based on continuing scholarly or professional potential at higher levels of responsibility rather than as a reward for past achievements. While a pay increase will be made commensurate with a promotion or increase in duties or responsibilities, a step increase will not be associated with awarding of tenure.

(b) In acknowledgement of the diversity of NWC faculty responsibilities and duties, the criteria for promotion and tenure should be applied with reasonable adaptation and interpretation relative to the various affiliated parts of the College and the corresponding professional expectations for our faculty. The qualitative assessment of faculty achievement relative to these standards rests primarily with our faculty, as exercised within department and college committees, and the College-wide Faculty Promotion and Tenure Committee. The final decision rests with the PNWC, acting upon the recommendation of the Provost.

(c) The Faculty Promotion and Tenure Committee will evaluate promotion and tenure packets from across the entire NWC and make recommendations to the Provost and the PNWC. For the purpose of determining promotion and tenure, a faculty member's level of merit will normally be assessed on the basis of the following criteria:

<u>1.</u> *Non-tenure-track promotion.* For non-tenure-track promotion, assessment of the four categories of expected faculty contribution (teaching; curriculum development; scholarship; service) should be proportionately weighted in accordance with the standards established by the faculty member's home department and college. Superior performance and promise should be demonstrated in at least one of these categories, with meaningful contributions to the other areas also expected. Promotion from assistant professor to associate professor should generally occur at the sixth year of service review, and be based upon demonstration by the candidate of significant performance achievement, as assessed in accordance with the weighted areas of contribution appropriate for the candidate's area of work, and promise for continued success. Promotion

from associate professor to professor should recognize sustained longer-term excellence in performance across these weighted areas of contribution, normally for a period of not less than nine years. In truly exceptional cases and upon approval of the Provost via the appropriate Dean, applications for non-tenure track faculty may be accepted after six years as an associate professor at the NWC. Additionally, in keeping with the accompanying award of indefinite appointment, the candidate should clearly demonstrate both commitment and success at sustaining superior meritorious performance through continuing professional growth and promise for enhanced future accomplishment.

2. *Tenure-track faculty.* For tenure-track faculty, the criteria for promotion include expectations of exemplary performance in all four of the areas of contribution (teaching; curriculum development; scholarship; service), with associated standards of excellence established by the professor's home department and college. Tenure-track assistant professors applying for promotion to associate professor with concurrent award of tenure should demonstrate such superior performance through evidence of instructional excellence, meaningful contributions to curriculum development, published scholarship, and institutional and professional service. The candidate must also evidence by record that they are capable and committed to increasingly enhanced performance moving forward. Under normal circumstances, this review for promotion and tenure should typically occur in the sixth year of service at the assistant professor level. Promotion of a tenured associate professor to appointment as professor requires a longer sustained record of superior performance across all four areas of expected faculty accomplishment, and should include additional contributions that support our institutional mission beyond their home department and college. There is no timetable requirement for when an associate professor must come forward for promotion, and indeed many faculty can be expected to enjoy successful careers as associate professors without ever attaining further promotion.

3. *Teaching.* For purposes of definition, "teaching" is broadly interpreted as contributions to the educational mission of the College, including both residential and non-residential programs, and of varying content, duration, concentration and intended audience. Similarly, relevant and timely subject matter expertise offered through presentations, simulations, and wargames so as to better inform important external

stakeholders also represents a valued contribution to our educational mission.

4. *Curriculum Development.* "Curriculum development" is broadly defined as the planned, purposeful and systematic process of researching, developing, advancing, or coordinating positive and meaningful academic materials or programs (to include simulations and wargames) for inclusion in the College's diverse educational curricula. Examples may include but are not limited to authoring readings, case studies, exams, or research/facilitator/teaching guides; researching and/or acquiring relevant scholarly materials designed for presentation to students, faculty, staff or conference/gaming audiences; development of scholarly lectures and/or multi-media presentations. Curriculum development and preparation of instructional materials is considered a requisite complementary activity. Additionally, the analogous application of practitioner military experience into enhanced student learning is another example of effective instruction, although the candidate must also demonstrate a commitment to maintaining this practitioner expertise over time.

5. *Scholarship.* "Scholarship" is meant to refer to the intellectual pursuit of knowledge, through original research or analytical productivity, its meaningful application and dissemination. Such engaged scholarship should make a consequential contribution to advancing the state-of-knowledge in the faculty member's field of scholarship, as demonstrated by a substantial record of publication. For example, in research fields for which book publication is the customary standard of excellence, award of Associate Professor with tenure should correspond to publication of at least one well-regarded book, and one additional high-quality article. For fields in which book publications are not the common standard for dissemination of scholarship, promotion to Associate Professor with tenure should generally correspond to publication of at least six articles of peer-acknowledged quality, or equivalents of such published work. Furthermore, promotion of Associate Professors to the rank of Professor requires an additional iteration of engaged scholarship (as described above), as well as evidence of sustained excellence at this level of performance extending into the future. As described previously, the specific definitions of scholarship are best described by the individual faculty departments and colleges, with their distinct missions and metrics of achievement, and as evidenced by demonstrable records of accomplishment fairly assessed by faculty peers across the College. To assist in evaluating the quality of

scholarship expected for the award of tenure, applicants are requested to provide two (2) external reference letters from individuals of good standing within the applicant's discipline; these letters should directly address how the applicant's scholarly professional record relates to the norms of their professional discipline. While external letters of support are not required for non-tenure track applicants, they are encouraged as a way to demonstrate that they are visible and engaged members of their professional community.

6. *Service*. "Service" is broadly defined and satisfied by a wider range of possible areas of contribution. It is much more than appointed participation on committees associated with routine institutional governance, though these contributions are important and necessary. It additionally represents within the College a willingness to voluntarily extend participation and collaborative contributions beyond home department and college, to the advantage and benefit of students and faculty across the entire College. Additionally, faculty may demonstrate a rising stature within their field of expertise through a record of increasing professional service, reflected by contributions to peer professional organizations, significant participation in scholarly meetings, and partnerships working with peer faculty and institutions.

(d) It is the responsibility of applicants for tenure or any promotion to demonstrate to the satisfaction of a departmental and college-wide promotion and tenure committee how they have satisfied all relevant standards as set forth above. Evaluation of all promotion and tenure applicants will be based primarily on assessment of future potential as demonstrated by past performance. Evaluative letters are also expected from Department Chairs, Directors and Deans for confidential review by the Faculty Promotion and Tenure Committee. As a guiding principle, all applicants are expected to demonstrate their capabilities and commitment to maintaining high levels of productivity and effectiveness as a valued member of the NWC faculty.

(e) The Faculty Promotion and Tenure Committee's decisions may only be appealed on the grounds of a violation of process. All recommendations submitted to the Promotion and Tenure Committee by Deans, Chairs, or Directors shall not be released to other parties, and will be removed from submitted package following the conclusion of the Board and retained in the NWC's Human Resources Department.

(2) Ranks: Appointment, Reappointment, and Promotion. Faculty appointments will typically be at one of the following ranks: *instructor*, *assistant professor*, *associate professor*, and *professor*.

(a) *Instructor*. Typically, an instructor is a faculty member who would qualify as an assistant professor but does not yet hold an earned Ph.D. or other

appropriate terminal degree (Ed.D., LLM/LLD, etc.). Instructors may also be temporary faculty attached to particular short-term projects who do not hold a terminal degree or the equivalent professional level of attainment. The rank of instructor should be the rarest used and normally should be granted only on a temporary basis. A typical example of appointment as an instructor would be a new faculty member who is joining the faculty and is about to complete his or her terminal degree within a year. This rank is based primarily on academic qualifications. Therefore, while in some cases an instructor may also have professional experience that may enhance his or her contributions as a member of the faculty, this rank is not normally used for faculty appointments that are made primarily on the basis of professional practitioner qualifications.

1. Appointment as an instructor shall be for no more than two years and, as a matter of practice, should be considered nonrenewable.

2. Evaluation for promotion to assistant professor shall begin upon completion of the terminal degree or the attainment of sufficient professional expertise to warrant promotion to more senior rank.

3. Research Associate – hired at the rank of AD-01/Instructor -- is a faculty member who would qualify as an assistant professor but does not yet hold an earned Ph.D. or other appropriate terminal degree (Ed.D., LLM/LLD, etc.). Research Associates are typically found in CNWS. A typical example of appointment as a Research Associate would be a new faculty member who is joining the faculty for a period of time, but has a Master's Degree and research experience in a particular area of interest/requirement for a department. This rank is based primarily on a combination of academic qualifications and experience. Therefore, while in some cases hired as an instructor, a Research Associate may also have professional experience that may enhance his or her contributions as a member of the faculty, this rank is not normally used for faculty appointments that are made primarily on the basis of professional practitioner qualifications. However, practitioner experience can supplement academic qualifications leading to an appointment as a research associate.

a. Initial appointment as an instructor a research associate shall be for no more than two years and, as a matter of practice, should be considered renewable, subject to performance evaluation and departmental requirements. A research associate may be reappointed and kept at this rank beyond two years provided there is a clearly identified requirement for the expertise that the faculty member brings to the College.

b. Evaluation for promotion of a Research Associate to assistant professor shall begin upon completion of the terminal degree or the attainment of sufficient professional expertise to warrant promotion to a more senior rank.

(b) *Assistant Professors.* Typically, an assistant professor is a new or recent scholar who holds an earned Ph.D. or equivalent terminal degree, and who is usually in his or her first, or near to first, academic appointment and, while showing promise, has not yet compiled a significant record of academic experience and achievement. This rank is based primarily on academic qualifications. Therefore, while in some cases an assistant professor may also have professional experience that may enhance his or her contributions as a member of the faculty, this rank is not normally used for faculty appointments that are made primarily on the basis of professional practitioner qualifications.

1. The initial appointment to the rank of assistant professor shall be for two years. A single follow-on appointment shall normally be for four years. During this time, he or she is expected to show growth as a scholar and in performance of his or her teaching, research, or other duties, as appropriate.

2. Upon holding the rank of assistant professor for normally no less than five consecutive years, the faculty member may seek promotion to associate professor.

3. Promotion shall reflect these considerations:

a. Continued improvement and maturation in the faculty member's performance of his or her duties, including, as appropriate, teaching and curriculum development; research, analysis, and gaming; service to the College/department; or other assigned duties—all of which should be of excellent or outstanding quality in accordance with appropriate evaluation standards.

b. Evidence of a high level of scholarly productivity, including original scholarly research and publication, and other forms of contribution to and engagement with his or her academic field and the wider academic profession commensurate with expectations at the level of an assistant professor.

c. Significant contributions to the research, analysis, or gaming function of NWC, where appropriate, for those faculty members whose primary duties are research.

d. Clear evidence of further promise of scholarly achievement, and service to the College/department as defined by the leadership of the relevant department or unit of the College.

e. A demonstrated commitment to consideration of issues of jointness in the individual's teaching and/or research, analysis, and gaming activities at the College, where appropriate. These activities should substantively contribute to building trust and confidence among the College's students as well as enhance their ability to function in a joint, interagency, and multinational environment. Faculty serving as assistant professors and seeking promotion to the rank of associate professor shall have developed a basic, practical understanding of jointness and actively sought to reflect that understanding in their teaching, research, analysis, and gaming activities. For purposes of this guideline, "jointness" applies to the joint, interagency, and multinational environment and fosters a joint perspective in operational, strategic, and critical thinking as well as professional activities.

4. If successful, the promotion to associate professor will normally take effect at the end of the sixth year of service. If denied promotion, the faculty member may request a one-year extension to his or her appointment and reapply at the beginning of the seventh year of service. Failure to gain promotion at this level by the end of the seventh year of service normally indicates an unsuccessful performance as a member of the faculty. A faculty member may be reappointed and kept at this rank beyond seven years provided there is a clearly identified requirement for the expertise that the faculty member brings to the College. However, the faculty member normally will not seek further promotion and may not appeal to a non-reappointment review committee if dismissed after six years or more of service.

(c) *Associate Professors.* Typically, an associate professor is an experienced scholar with an earned Ph.D. or equivalent terminal degree with at least five years of academic experience at a lower academic rank or an experienced national security professional with at least fifteen to twenty years of relevant professional experience including at senior levels (O-5/O-6 or civilian equivalents). An associate professor whose primary duties are teaching/research and scholarship will have already produced a significant body of original scholarly research and publication. This work will be of high quality, but not yet of the quantity or caliber adequate to justify promotion to professor. Associate professors are highly experienced and accomplished individuals in a relevant field of scholarly or professional practice. As this covers a broad range of academic backgrounds and professional careers, the rank of associate professor should be the most common rank in use at the NWC, and the one that most faculty will hold for all or a significant portion of their careers at the College.

1. The length of an initial appointment for a new hire at the rank of associate professor is normally a period of two years. The normal length of reappointment as an associate professor is not less than four years.

2. Tenure track faculty members may seek promotion upon holding the rank of associate professor for normally not less than six consecutive years, the faculty member may seek promotion. Although this period may be shortened, at the discretion of the Provost, for faculty hired at the rank of associate professor, and depending on previous achievement, rank, or experience, in no case shall a tenured/tenure track associate professor be considered for promotion to professor until he or she has served for two consecutive years as an associate professor at the NWC.

3. Non-tenure track faculty members may seek promotion upon holding the rank of associate professor for normally not less than nine years. In truly exceptional cases, and upon approval of the Provost via the appropriate Dean, applications for non-tenure track faculty may be accepted after six years as an associate professor at the NWC.

4. Not all NWC faculty will hold tenure/tenure-track appointments. In that a primary purpose for initiating the tenure system is to better compete with elite civilian academic institutions for the recruitment and retention of a high quality faculty, it is expected that tenure-track status normally will apply to faculty with job responsibilities comparable to traditional civilian tenure-track professorial appointments. Accordingly, we expect to apply comparable tenure standards of achievement within the evaluation areas of teaching, curriculum development, scholarship, and service.

5. Determination of which faculty lines are appropriate for tenure/tenure-track designation will be made by the PNWC and Provost, upon recommendation of the Deans, Chairs and Directors, and in consultation with the faculty. Generally, we expect faculty positions encompassing the traditional academic responsibilities of teaching and curriculum development, engaged scholarship, and institutional and professional service to be defined as tenure/tenure-track. Faculty positions that are distinctive to the NWC mission but do not share the customary breadth of traditional academic duties will more commonly not be designated as tenure/tenure-track. Such faculty positions may emphasize practitioner experience, transactional and operational instruction, or full-time applied research and analysis, or leadership and management of large academic programs and administrative divisions of and within deaneries

and their subordinate departments, and will continue to follow the existing instructor/assistant professor/associate Professor/Professor non-tenure-track advancement progression. The previously developed faculty appointment and compensation model will be retained, including the decision that all full Professors receive indefinite appointments.

6. Assistant or associate professors who are designated as holding tenure-track appointments are expected to apply for tenure on a timely basis. Those having held their NWC faculty appointment for at least four years as of April 2018 will be expected to apply for tenure by April 2020. Those who have been NWC faculty for less than four years as of April of 2018 normally will be expected to apply for tenure in their sixth year, or earlier if specified in their hiring agreement. During this initial review period, it is possible that up to an additional two years may be granted for unsuccessful tenure applicants to continue working on achieving tenure standards and to reapply. Consistent with policies adopted by the American Association of University Professors, candidates who are tenure track but unsuccessful tenure candidates at the completion of the above described review timetable will be given a single-year terminal appointment to conclude their service to the College.

7 Non-tenure-track associate professors may request to recategorize and seek award of tenure and eventually promotion to professor via the tenure-track process at any time. Recategorization requires consultation with and a recommendation from the Dean, Chair or Director, and designation by the PNWC and Provost. Once making the formal decision to be recognized as a tenure-track faculty member the associate professors will be considered tenure-track permanently. Once recategorized, a tenure-track associate professor has four years in which to meet the tenure-track requirements for the award of tenure. These requirements are the same as tenure-track assistant professors seeking promotion and tenure to associate professor. The award of tenure and promotion to professor will not occur simultaneously, tenure must be awarded prior to submitting for promotion to professor. Consistent with policies adopted by the American Association of University Professors, candidates who are tenure-track but unsuccessful tenure candidates at the completion of the above described review timetable will be given a single-year terminal appointment to conclude their service to the College.

8. The promotion from associate professor to professor is a significant step for both the faculty member and the College. The faculty member should demonstrate a significant record of scholarly or professional productivity and achievement, teaching and/or research, and service to the NWC beyond those required duties. These should include at least several of the following areas as appropriate on the basis of individual department expectations and the faculty member's own academic or professional practice focus:

a. Excellence or outstanding performance in teaching and significant contributions to curriculum development, where appropriate.

b. Significant contributions to the NWC educational function through service to the College/department, where appropriate.

c. Significant contributions to the research, analysis, or gaming function of NWC, where appropriate.

d. Active contributions to and engagement and visibility within the faculty member's respective academic or professional field (e.g. fleet engagement/support) and the wider academic or professional (e.g., fleet/joint) community.

e. Significant scholarly contributions, including publication of original research in peer-reviewed academic journals or presses and other high-quality academic publication venues.

f. Significant professional practitioner contributions, including publication of original research in professional policy journals and other high-quality professional public venues. Significant efforts in this area could also include substantial contributions to policy documents; doctrine publications; fleet tactics, techniques, and procedures; or significant support to fleet commanders and staffs.

g. A consistent commitment to the advancement of issues of jointness in the individual's teaching and/or research, analysis, and gaming activities at the College, where appropriate. These activities should substantively contribute to building trust and confidence among the College's students as well as enhance their ability to function in a joint, interagency, and multinational environment. For purposes of this guideline, jointness applies to the joint, interagency, and multinational environment and fosters a joint perspective in operational,

strategic, and critical thinking as well as professional activities.

9. In all cases, faculty seeking promotion to professor must show a demonstrated commitment and ability to work with the College's enterprises across departments and codes, and provide evidence of professional achievement that indicates the promise of further contributions both to the College and to their particular fields of specialization.

10. In all cases, faculty seeking promotion to professor should demonstrate an established capability and willingness to challenge assumptions through actions such as, but not limited to, embracing positive change, capturing efficiencies, enhancing effectiveness, promoting team building, and exhibiting critical thinking.

11. Failure to gain promotion to professor does not prejudice a faculty member's standing in any way. He or she may reapply every two years after the initial request for promotion.

(d) *Professors.* The title of professor signifies a scholar of stature, with a substantial body of academic achievement, or professional practitioner of stature, with a substantial body of achievement and experience in his or her field. This is not an honorific title, nor one necessarily given toward the end of a faculty career. It should be, instead, reserved for faculty who have demonstrated superior performance and productivity, and have the potential for making future superior contributions to the College and the wider academic or professional practitioner community. As a rank given upon hiring, it will be used sparingly and reserved for incoming faculty members who have already attained substantial and visible academic or professional practitioner achievement in their careers and who show promise of continuing that high level of performance in the NWC setting.

1. The rank of professor denotes a faculty member who is capable of making contributions across the College outside of his or her normal duties; a potential mentor and example to other faculty; and a visible and engaged member of his or her respective scholarly or professional community, with evidence of a continued high rate of productivity in his or her respective field.

2. Appointments as professor include awarding of tenure if not already tenured. If the promoted professor is not in a tenure track position, an MOU without term will be signed.

(e) *Indefinite Appointment.* An appointment without specified term is periodically awarded to non-tenure track professors who have long records of accomplishment as outlined above.

1. Tenure will be awarded automatically to all full professors holding tenure-track appointments, and to any assistant/associate professors in tenure-track positions who previously have been awarded tenure at another academic institution before coming to the College. All other tenure-track faculty will be expected to go through the tenure review process.

2. Faculty who do not hold tenure-track appointments have much greater flexibility on when they may apply for promotion. All faculty continue to be subject to periodic reviews in accordance to the timetable and performance standards as specified in their most recent Memorandum of Understanding (MOU). However, reviews for renewal of MOU without promotion do not go to the faculty promotion and tenure committee for evaluation.

3. Indefinite appointments may be terminated before retirement only due to a reduction in force or separation for cause. They may be offered only in writing. Oral statements, verbal promises, or other such assurances of indefinite appointment are not binding. While desirous of recognizing the long-term commitment of senior faculty members, and although there is no limit fixed by statute or by DoD and Navy policy on the number of indefinite appointments, the NWC needs to retain sufficient flexibility to adjust the number of faculty members; therefore, the award of indefinite appointments is carefully considered.

4. As with promotion to professor, there is no inherent right to an indefinite appointment, and it is reserved for the most outstanding members of the faculty. Normally, these will be faculty members whose records stand out even among the high achievements of the cadre of professors, who show further promise of such high levels of performance, achievement, and service to the College and whose expertise is expected to be needed for an extended period.

a. In the consideration of requests for indefinite appointment, it is expected that the professor continue to exhibit the requirements and attributes required for promotion to professor with consistent excellence.

b. Failure to gain an indefinite appointment does not prejudice a faculty member's standing in any way, and the professor may reapply annually.

c. <u>Term of Employment</u>

There are four circumstances under which the employment of a civilian faculty member at the NWC may end:

(1) Expiration of Appointment. When an appointment is not renewed, a civilian faculty member's employment at the NWC will come to an end at the expiration of the term specified in his or her MOU. Any verbal promises or assurances of an extension of an appointment shall not be binding upon the College. Except in extraordinary circumstances, written notification of non-reappointment will be given by the Provost, on the recommendation of the appropriate Chair/Director and Dean, (a) six months prior to the expiration of the appointment term, or (b) by 1 October prior to the expiration of the contractual term, whichever is longer. The PNWC will approve of the intent not to renew a faculty member's contract prior to said written notification.

(a) *Right of Appeal.* Civilian faculty members with more than six years of continuous employment at the NWC have the right to request a peer review of non-reappointment.

(b) *Composition of the Review Committee.* The non-reappointment review committee is normally composed of the Associate Provost, an appropriate non-involved Dean, and four voting faculty members, three from different academic departments or colleges within the affected academic unit, and one from another academic unit. The Associate Provost shall be chair of the committee, but shall have no vote unless required to establish a majority. Upon receiving a request for review by the affected faculty member, committee members are appointed at the direction of the PNWC by the Associate Provost.

(c) *Presentation and Consideration of Cases.* The affected faculty member presents his or her case to the committee in writing via the Departmental Chair/Director and then to the Dean. The committee shall review the circumstances of non-reappointment and forward a written recommendation of concurrence with non-reappointment or for reappointment, with grounds, to the PNWC, via the Provost, for final decision.

(2) Change in NWC Structure or Organization. A lack of federal funds, major changes in mission, or a substantial decline in a department's workload may require a reduction in the number of faculty members. In such an event, and insofar as possible and not guaranteed, written notice of termination of service will be given by 1 July, and at least six months prior to its effective date, to those individual civilian faculty members who are to be affected. Such notification by 1 July will permit those faculty members to be fully competitive in the academic job market for the following academic year. This provision does not grant any substantive rights to any employee. A reduction in force may be effected without the notice set out in this provision.

(3) Separation for Cause. Any member of the faculty may be separated for cause, in accordance with applicable OPM, DoD, and Navy Regulations. The faculty member will be afforded all rights and protection provided by those regulations.

(4) Resignation. Whenever possible, a civilian faculty member is expected to furnish the Department Chair, appropriate Dean, and Provost with at least six months written notice of an intention to resign. Except in extraordinary circumstances, the faculty member should make every possible effort to complete his or her core teaching responsibilities for the current academic year before leaving the NWC.

4. Salary, Benefits, and Awards for Achievement

a. Naval Faculty Pay Schedule. The compensation of regular civilian faculty members is fixed in accordance with the Naval Faculty Schedule (NFS) determined by the SECNAV, as authorized by Section 7478, Title 10, U.S. Code. The maximum rate limited to the rate for Level III of the Executive Schedule [5 USC 5304 (g) (2)]. The NFS includes pay schedules for academic grades ranging from instructor to professor as well as for administrative faculty, supervisory professor, and Dean. It makes allowances for step increases within each professional category.

(1) Compensation upon Appointment. The setting of compensation upon initial appointment of civilian faculty members is a prerogative of the Provost, who takes into account the recommendation of the responsible Department Chair, Director, or Dean; the needs of the NWC; the overall competitiveness of the appointee's area of expertise or academic discipline and the level of professional achievement of the appointee. As designated by the PNWC, the Provost is the only NWC official authorized to make a formal job offer.

(2) Step Increases. Step increases, also called "within-grade increases," are periodic increases in pay independent of cost-of-living adjustments. They are awarded at the discretion of the Provost. For a civilian faculty member, a step increase is the difference between two sequential levels for an academic grade on the NFS.

(a) *Criteria for Eligibility*. Eligibility for step increases is based on scheduled duration of appointment, personal performance, and longevity, as follows:

1. The faculty member must be serving in an appointment that exceeds a one-year duration—i.e., an indefinite appointment, a multiyear appointment, or a series of single-year appointments.

2. The faculty member's most recent performance appraisal review must be rated at the acceptable level or above.

3. The longevity or waiting period must be satisfied for progression into or within the applicable step range for the salary schedule of the faculty member's academic grade/rank.

4. Step increases will only be authorized until the individual reaches the top of the band for that academic rank. The minimum waiting periods for progression into or within published NFS ranges are as follows:

Academic Grade/Rank	NFS Range	Waiting Period
Instructor	5 to 15	1 Year
Assistant Professor	20 to 24	1 Year
	24 to 28	2 Years
Associate Professor	29 to 34	2 Years
	34 to 40*	3 Years
Full Professor	42 to 44	2 Years
	44 to 54	3 Years
	54 to 70	4 Years
Supervisory Professor/Dean	II to XIX	4 Years

***** Associate Professors currently at or above step 40 will be granted their next step increase then have their compensation capped.

(b) Faculty members tendered multiyear appointments or extensions of one-year appointments will become eligible for a step increase upon completion of their first year of NWC faculty employment, subject to satisfying minimum waiting periods for their salary step range. No step increases will be considered at MOU renewal time unless a longevity step increase is due at that same time. Deans may recommend step increases for deserving individuals at any other time.

(c) Promotion of a faculty member will result in the establishment of a new step-increase eligibility waiting period, provided that the promotion is accompanied by a compensation increase equivalent to at least one step on the NFS for the level from which promoted.

(d) Academic faculty members and their supervisors shall be notified at least ninety days in advance of their eligibility date for a within-grade step increase.

(e) Except in the case of an accomplished practitioner, a civilian faculty member in the S&P Department and NSA Department, is required to possess a doctoral degree at the time of hiring or will be hired at the rank of instructor and be required to demonstrate reasonable progress toward completing a doctoral degree as a condition of the individual's initial MOU. In ordinary circumstances, upon award of a doctoral degree, a faculty member may receive up to a two-step increase in pay on the NFS, following approval of a new MOU and processing by the Human Resources Office.

(3) Adjunct Faculty Salaries. The compensation of an adjunct professor, whether teaching for CDE, the Electives Program, or other part of the College, is a

contractual matter between the College and the provider involved as approved by the Provost.

b. Benefits. The specific provisions of Federal Civil Service employee benefit programs for civilian faculty members are found at the Office of Personnel Management website. The following summaries are for general information only. Faculty members should consult with the Human Resources Office or The Benefits Line at 888-320-2917.

(1) Insurance

(a) *Federal Employees Health Benefits Program*. The Federal Employees Health Benefits (FEHB) Program is one of the most valuable benefits of Federal employment, but coverage is not automatic--you must enroll in one of the more than 100 available health plans in order to be covered.

Although you have 60 days to enroll, it is to your advantage to make this election soon in order to be covered in case of accident or illness. There is no retroactive coverage of your expenses prior to the effective date of your enrollment. The policy will begin coverage on the effective date, however, and will cover expenses that occur on or after that date, even for conditions occurring before that date (pre-existing condition coverage). Further information can be found at www.opm.gov.

(b) *Hospitalization and Medical Insurance*. The Federal Employees Health Benefits Program is a voluntary contributory program open to almost all employees, except those who are serving under a temporary appointment not to exceed one year, those who are employed on a seasonal or intermittent basis, or those who are otherwise excluded by law or regulation. Employees must contact the benefits line at www.civilianbenefits.navy.mil to enroll in health insurance or call (888) 320-2917.

(c) *Dental and Vision Insurance.* The Federal Employees Dental and Vision Insurance Program (FEDVIP) is available to eligible Federal and Postal employees, retirees, and their eligible family members on an enrollee-pay-all basis. This Program allows dental and vision insurance to be purchased on a group basis which means competitive premiums and no pre-existing condition limitations. Premiums for enrolled Federal and Postal employees are withheld from salary on a pre-tax basis. There are seven dental plans and three vision plans to choose from. New and newly-eligible employees can enroll during the 60 days after they become eligible. Eligible individuals can enroll in a dental plan and/or a vision plan. They may enroll in a plan for self only, self plus one, or self and family coverage. Employees must be eligible for the FEHB Program in order to be eligible to enroll in FEDVIP. It does not matter if you are actually enrolled in FEHB, eligibility is the key.

(d) *Life Insurance*. If you are in a FEGLI-eligible position, you are automatically enrolled in Basic life insurance, it is effective on the first day you enter in a pay and duty status unless you waive this coverage before the end of your first pay period. You do not get any optional insurance automatically, you have to take action to elect it. You have 60 days from your entry date to sign up for any optional

life insurance. If you do not make an election, you are considered to have waived optional insurance. You do not need proof of insurability for the Basic insurance that you get when you are first hired, or any optional insurance for which you enroll during the first 60 days. Proof of insurability may be required for insurance changes you request after that time.

(e) *Retirement Program*. If your appointment confers eligibility for the Federal Employees Retirement System (FERS) your agency will automatically enroll you in this program. Almost all new employees are automatically covered by FERS. FERS is a three-tiered retirement plan. The three tiers are 1) Social Security benefits, 2) Basic Benefit Plan, and 3) Thrift Savings Plan. You pay full Social Security taxes and a small contribution to the Basic Benefit Plan. In addition, your agency will set up a Thrift Savings Plan (TSP) account for you and will automatically contribute an amount equal to 1 percent of your basic pay each pay period. These Agency Automatic (1%) Contributions are not taken out of your salary, and your agency makes these contributions whether or not you contribute your own money to the TSP.

You are also able to make tax-deferred contributions to the TSP and a portion is matched by the Government. Your agency will invest $1 for every $1 you invest for the first 3 percent of your basic salary, and 50 cents for each $1 you invest for the next 2 percent of your basic salary. The agency contributions are not taken out of your salary, they are an extra benefit to you. You can start, change, stop, and resume TSP contributions at any time, there is not waiting period.

(f) *Social Security*. All federal employees hired after 31 December 1983 are covered by the Federal Income Contribution Act (FICA), i.e., Social Security, and must pay Social Security taxes. Former employees with previous federal service are also included, if their break in service was greater than one year. This program is also known as the "old age, survivors, and disability insurance" program. Taxes are based on earnings; and benefits payments, when obtained, are based on the worker's average earnings under the act. By law, the government and the employee share equally in the payment of FICA tax on salary and wages. The tax rate is established by Congress and may be changed from time to time. Pre-1984 federal employees who elected to join the Federal Employees Retirement System (FERS) are also covered.

(g) *Medicare Insurance*. Medicare, the program that provides medical insurance to the elderly, consists of two parts: hospitalization insurance and medical insurance. Hospital insurance is funded by Social Security taxes and is available to anyone receiving benefits without additional payment of premiums; medical-insurance coverage requires individual election and payment of a premium. Social Security withholdings include an automatic 1.45 percent contribution for hospitalization insurance.

(h) *Injury Compensation and Medical Care*. The Federal Employees' Compensation Act is administered by the Office of Workers' Compensation Programs of the U.S. Department of Labor. The act provides benefits to federal employees for continuation of pay for traumatic injuries, and for wage loss, medical care, and other

assistance for job-related injury or death. An employee is entitled to first aid and medical care for an injury sustained while in the performance of official duty. The medical care is to be provided by any duly qualified local physician or hospital of the employee's choice. Federal Employees Health Benefits Program plans will not pay medical expenses resulting from a work-related injury or disease. An employee is required to inform his or her official supervisor notice of the injury immediately. The supervisor will notify the NWC Injury Compensation Program Administrator (ICPA) or the Human Resources Office immediately. The ICPA will provide the proper department of labor forms for completion.

(i) *Unemployment Compensation.* Unemployment insurance protection is provided for federal civilian employees and ex–service members under provisions of Title 5, Chapter 85, of the U.S. Code. Responsibility for actual payment of unemployment compensation is delegated to the various state employment security agencies from funds provided by the federal government. An SF-8, Unemployment Compensation Form, is needed to file a claim.

(j) *Flexible Spending Accounts*. You have 60 days from your entry on duty to sign-up for the Flexible Spending Account(s), or until October 1, whichever comes first. Applications for the current calendar year are not accepted from October 1 through December 31. If you wish to enroll after October 1 you will need to do so during Open Season for the following year.

The Federal Flexible Spending Account Program (FSAFEDS) allows you to pay for certain health and dependent care expenses with pre-tax dollars. You may choose to make a voluntary allotment from your salary to your FSAFEDS account(s). You will not pay employment or income taxes on your allotments and your employing agency also avoids paying employment taxes. FSAs are not carried over from one Plan Year to the next, so each fall during the annual Open Season, you must make a new election for the upcoming Plan Year.

There are three types of FSAs offered by FSAFEDS, 1) Health Care FSA, 2) Limited Expense Health Care FSA, and 3) Dependent Care FSA. Each type has a minimum annual election of $100 and a maximum of $2,500 per participant for a health care FSA and $5,000 per household for a dependent care FSA. For more information consult the Human Resources Office or www.opm.gov.

c. <u>Awards for Achievement.</u> Faculty members may receive various forms of official recognition of outstanding achievement. Some awards are monetary. Others are honorary.

(1) Performance Awards. Civilian faculty members may be considered for individual monetary awards as a result of their annual faculty performance appraisal ratings. In order to be eligible for a cash performance award, the faculty member must have been in the covered position for a minimum of one year. Final determination of awards is made by the Provost following recommendations submitted by Chairs, Directors, or Deans and/or evaluation by a Performance Appraisal Review Board.

(2) Incentive Awards. All DoD civilian employees are eligible to be considered for incentive awards. Incentive awards, honorary and/or monetary, may be used to recognize group or individual effort that goes significantly beyond expected job performance or involves an exemplary accomplishment, unusual academic distinction, or an act of heroism. The award may be for accomplishment or contribution within, beyond, or outside normal job responsibilities.

(3) Time-Off Awards. All federal employees are eligible for time off from duty as an incentive award. Such time off is referred to as a "time-off award" and may be granted, without loss of pay or change to leave, in recognition of superior accomplishment or other extraordinary personal effort that contributes to the quality, efficiency, or economy of government operations above and beyond the normal satisfactory performance of duties.

(4) Military Awards. Military personnel are eligible for recognition on the basis of outstanding performance or service in accordance with the standard Navy Awards Program or their individual Service criteria and procedures. Recommendations are submitted via the chain of command.

(5) Civilian Awards. Civilian personnel are eligible for recognition on the basis of outstanding performance or service in accordance with DoD/Department of the Navy (DON) guidelines for meritorious achievement by civilians.

(6) Faculty Awards for Excellence in Teaching, Research, and Service. NWC civilian faculty awards for excellence in teaching, research, and service will be presented annually for contributions over the past two, three, or five years respectively. Each award will consist of a suitable certificate, recognition in a permanent display, and a one-step increase in salary. All non-supervisory, full-time NWC faculty members are eligible, except those that have received the award in the past five years. All three awards are peer-nominated by non-supervisory civilian and military full-time faculty. Self-nominations will not be accepted. The faculty awards committee will make recommendations to the Provost for decision by the PNWC.

5. Professional Development within the Naval War College

The NWC puts considerable emphasis on the professional development of all its faculty members. The leadership of the College believes that it is vital to provide the College's teaching and research faculty with substantial and equitable opportunities for continued professional development consistent with the College's mission and the applicable laws and policies governing such activities.

a. <u>Teaching.</u> Each teaching department has programs to ensure that faculty members are well prepared to engage their students, most of whom are mid-career professionals, in a free-flowing academic environment in which seminars are the most important element.

(1) Dean of Academics Departments. At the beginning of the academic year, experienced professors typically lead a series of group discussions with new faculty members about teaching methods as well as course content. During the year, the core academic departments hold numerous "bootstraps," or workshops, to discuss

the options available to teach different case studies or issues. At the end of the teaching terms, there are departmental retreats devoted to improving the presentation of the core courses in the next academic year; student feedback from the end-of-course critiques forms an important basis for discussion. In the curriculum development that follows these retreats, experienced and inexperienced faculty members work together in teams. In all the resident teaching departments, faculty members share offices, and in most seminars professors are grouped in teaching teams, normally with the most experienced teachers paired with the least experienced. These arrangements allow for intensive mentoring and mutual examination of teaching strengths and weaknesses. In cases where new faculty members are not part of teaching teams, they attend classes as auditors and observe seminar moderators in order to enhance their preparation for teaching seminars on their own.

(2) College of Distance Education. CDE makes a major effort to ensure adjunct professors remain closely aligned with the course content and teaching methods of the resident program. Most adjuncts come to Newport before the beginning of the academic year between July and August for guidance on course content and teaching methods from both full-time professors in the CDE program and faculty members of the resident departments. During the academic year, professors of both groups may travel to the off-site seminars to give teaching advice to, and make in-person teaching assessments of, the adjunct professors. Full-time CDE faculty members in Newport also spend much time using electronic networks to keep adjunct professors around the United States informed of new developments and engaged in feedback processes. These full-time CDE faculty members stay in close contact with their counterparts in the resident teaching departments, for example, by attending their annual retreats, their frequent faculty bootstraps, and (on occasion) their seminars with students.

(3) College of Maritime Operational Warfare. Fleet staff currency is what maintains CMOW faculty relevance. To that end, CMOW faculty teach in multiple CMOW courses and are aligned with a Fleet Engagement Team that maintains continuous contact with fleet staff throughout the year. CMOW faculty members typically visit Fleet staff locations annually to bring that currency into the curricula. Because CMOW courses are taught year round, CMOW also conducts a specified internal Professional Development program at NWC that serves to keep faculty members updated on maritime OLW practices while helping maintain topical consistency throughout CMOW courses. Each CMOW course conducts bootstraps for their specific curriculum. New CMOW faculty members typically begin teaching MSOC and are brought into a teaching team through an observer, teach, develop model. Based on individual expertise, they will then branch out into other CMOW courses.

(4) Center for Naval Warfare Studies. In the CNWS, the War Gaming Department conducts a one week War Gaming Professional Development Course twice annually to introduce the art and science of wargaming to new WGD faculty members. The course provides an overview how to plan, execute, and analyze war games. As wargaming is as much art as it is science, the senior War Gaming faculty

provide mentorship and knowledge to both new civilian faculty members and to the military faculty members assigned to the department. Professional development in the area of wargaming is open to any faculty member at the College.

(5) College of Leadership and Ethics. One or two months prior to each teaching session experienced professors lead a series of group discussions with faculty members about facilitation methods and course content. In the weeks prior to each class workshops are held to discuss the various options available in moderating and facilitating student discussion and development. After each session another series of workshops reviews the completed session and evaluates the content for continuation, adjustment, or removal and replacement. Faculty professional development also pervades the electives program where new faculty participate as either co-moderators or observers for material they are either unfamiliar with or desire refamiliarization with. Finally, CLE's Flag Level Education courses provide faculty opportunities to gain knowledge as well as important feedback on course material and delivery methods from outside the Naval War College.

(6) International Programs. International Programs promotes the teaching of international officers. IMSOC introduces multiple planning processes to prepare officers for maritime staff positions in a JTF or CCDR Headquarters staff. For International Wargaming (Introductory and Advanced), a Professional Development Course consisting of both introductory and advanced teaching the art and science of wargaming. The course provides an overview how to plan, execute, and analyze wargames.

b. <u>Enhancing Professional Expertise and Visibility.</u> All faculty members are expected not only to maintain currency, but also to enhance their expertise in their areas of specialization and, where possible, to extend the range of their knowledge in other areas relevant to their duties and the mission, functions, and tasks of the NWC. All faculty members are strongly encouraged to engage in activities that will increase their professional visibility outside the NWC and that will enhance the College's reputation among senior military commanders, policy makers, academics, professional organizations, and the general public.

There are many opportunities for professional development afforded by activities at the College. Cross-departmental Regional Studies Groups bring together on a regular basis faculty members with expertise on different regions around the world. There are numerous other ways in which faculty members may enhance expertise through research, analysis, or gaming involving collaboration between departments. Faculty members may also enhance or extend their expertise by teaching or taking electives. Course Directors and Department Chairs may make time available to their faculty members who want to fulfill unmet learning objectives for JPME Phases I and II certification to take the JPME courses offered by the other teaching departments. Faculty members who take all the required courses may receive not only JPME I or II certification, but also the Master of Arts Degree in Defense and Strategic Studies for the intermediate course or National Security and Strategic Studies for the senior course. Interested faculty should refer to Chapter 3, paragraph 4, for specific policies and procedures related to this opportunity. Departments may hold faculty seminars

and sponsor lectures of opportunity that allow those in attendance to maintain currency or enhance expertise on important issues. International officers who are students at the College give presentations on their countries.

In addition to these opportunities centered on personnel already in Newport, there are several different types of presentations given by visitors who come to the NWC. The CJCS offers an assessment of the strategic environment and current military operations and programs. Service chiefs give briefs on their Services. The combatant commanders and other senior flag/general officers make presentations on the activities of their commands. Civilian policy makers speak on matters of concern to DoD and other agencies. Professors from other academic institutions give lectures of opportunity or hold seminars on historical or contemporary issues of interest. In June, the Current Strategy Forum features panel discussions and speeches by the CNO, other senior military leaders, and well-known civilian experts. Each year distinguished academics or authors present a series of lectures highlighting important events and developments in naval history through the Naval Heritage Lecture Series. And not least, the Naval War College Foundation sponsors throughout the academic year a series of evening lectures by distinguished thinkers and practitioners in a wide range of fields.

c. Research, Scholarship, and Publication. Professors must create new ideas as well as teach established knowledge. By doing so, they best serve their students, their profession, and their nation. Accordingly, the NWC expects all civilian faculty members whose duties are not primarily administrative to engage in professional research and exhibit a sustained commitment to scholarship. It expects most of them to publish at least some of the results of their research. Military faculty members are not expected to publish, but are encouraged to do so in their areas of expertise. Faculty members may research, write, and publish in their official or personal capacity. Faculty members desiring to acquire a personal copyright in order to publish through a private publisher outside the NWC must ensure that such work is solely in their personal capacity. Please see the following section on "External Professional Development" for additional guidance on publishing outside the NWC. Faculty members are reminded to include a disclaimer indicating that their own personal views are not necessarily shared by the NWC, the Navy, or DoD. In accordance with DoD Directive 5230.9, "Clearance of Information for Public Release," there are some instances when the faculty member must undergo a security and policy review. Details of these are provided in paragraph 6e(3) in the "External Professional Development" section below. As a matter of DON directive, if working on controversial or highly visible issues, faculty members shall keep the appropriate Chair/Director, Dean, Provost, and PNWC informed so that the institution can better support these efforts.

(1) Departmental Priorities. There is variation from department to department in the emphasis placed on the importance of scholarly publication. The S&P Department and the NSA Department put high priority on scholarly publication by civilian faculty members. CDE, CMOW, and the JMO Department, most of whose civilian faculty members are retired military officers, put less priority on scholarly publication and higher priority on doctrine publication and currency. Civilian faculty

members in departments or divisions of CNWS, other than SORD, engage in research and analysis that often is not suitable for publication in open professional literature.

(2) Venues for Publication at the Naval War College. Most civilian faculty members at the NWC will publish with the same presses and in the same journals that their counterparts at civilian academic institutions do. But they should be aware that the College does offer its own venues for publication:

(a) *Historical Monograph Series*. The study of naval warfare history is an integral part of the NWC educational mission. Nowhere has the history of warfare at sea been more thoroughly investigated and analyzed than at the NWC. Accordingly, a program was established in 1975 for publication of book-length monographs relating to naval warfare history. When funds are available from non-appropriated sources, historical studies may be submitted to a board, chaired by the Editor, Naval War College Press, for review and possible publication.

(b) *Naval War College Review*. The Naval War College Press publishes an academic journal, the *Naval War College Review*. Published quarterly, the *Review* makes available to the general public current thought on strategy, operations, international law, logistics, arms control, naval history, and political-military affairs. The articles chosen for publication have the intellectual and literary merit to "inform, stimulate, and challenge" the readers of the journal. The *Review* also contains an extensive review section on titles representing the College's fields of interest. Submissions by faculty and students are encouraged.

(c) *The Newport Papers.* The NWC also publishes the Newport Papers, a series of monographs on issues of importance to policy makers, commanders, and other military leaders and/or to the foreign-affairs and defense-policy research community. Manuscripts prepared by faculty, research staff, or students are strongly encouraged for publication in this series.

(d) Maritime Operations Center (*MOC) Warfighter*. NWC publishes the MOC Warfighter online journal specifically to address challenges and issues applicable to Fleet staff officers, MOCs, and OLW planning. CMOW maintains the editorial board that collects, reviews, edits, and approves submissions for publication.

(3) Internally Funded Research. Faculty members may undertake internally funded research on projects pertinent to the missions of the NWC on a not-to-interfere basis with teaching and other assignments. The research must be administered by one of the research or teaching departments. Each applicant shall prepare a detailed plan of the proposed research, a projected timetable, and a proposal for financial support approved by his or her Chair or Director. The proposal must be submitted to the PNWC via the appropriate Dean and the Provost. Approval is contingent on the relevance of the topic to the missions of the NWC and on the availability of research funds.

(4) Support from the Naval War College Foundation. The Naval War College Foundation (NWCF) makes available financial support to faculty members for travel to conduct research. It has also financially supported scholarly conferences

that have been organized by faculty members and that have resulted in edited books. It provides, as well, administrative support for private grants that faculty members obtain. All requests for NWCF support must be submitted via the chain of command to the Provost. In no case may faculty members approach the NWCF directly to solicit support.

(5) Faculty Professional Development Opportunities Involving Periods of Relief from Departmental Responsibilities (Sabbatical). The faculty expect the NWC to follow the best practices of other leading professional schools by supporting them with time on a discretionary basis to do research, develop new ideas, enhance intellectual skills and credentials, and participate in their respective professional communities. Given the operating tempo of the College, *time* is often the scarcest resource of its faculty.

The College understands that the ability to offer periods of professional development to its faculty is important in the recruitment of new professors as well as in the retention of faculty members whose sustained performance is vital to the accomplishment of the missions, functions, and tasks assigned to the College. Further, sustaining the superb record of achievement by this faculty and maintaining the College's intellectual reputation require an institutional commitment to support faculty professional development by providing opportunities, unconstrained by normal duties, for developing expertise and conducting non-tasked research.

Therefore, it is the policy of the NWC to encourage faculty professional development as a matter of individual and institutional effectiveness; to offer several options for faculty members to enhance their professional development; and to consider requests for paid periods of professional development subject to the availability of personnel to accomplish the College's missions, functions, and tasks.

Within the context of available resources under which the College operates, the leadership cannot regard such paid periods of professional development as a right to which every faculty member is periodically entitled.

The College will accept requests for paid periods of professional development from faculty members who have completed no fewer than six years of service at the NWC, and assess such requests based on the following criteria: (1) the value to the individual faculty member's professional development; (2) the ability of the individual faculty member to achieve the purpose of the period of professional development; (3) the likely contribution of the outcome to the institutional effectiveness and intellectual reputation of the College; and (4) consideration of how the individual faculty member's prior professional, departmental, and institutional contributions demonstrate both potential value and likely ability to accomplish the purpose of the requested period of professional development. The College will approve those applications judged as most suitable given the foregoing criteria and consistent with the College's personnel requirements.

The College expects that faculty members who are authorized to undertake a paid period of professional development continue in service at the NWC for two years after that period ends and requires a faculty member awarded a paid period of professional

development to submit a report of what he or she accomplished during that period. This report shall be submitted to the Provost via the respective Dean, Chair, or Director within thirty days of completion of the paid period of professional development.

A faculty member who seeks to combine a paid period of professional development for part of an academic year with an outside grant for an additional part of that academic year is required to consult with the responsible Chair or Director, Dean, and Provost at the time of the initial application for professional development and keep them informed of the status of the grant proposal thereafter.

The College will consider faculty members, during the period of professional development, in the usual manner for promotions, tenure, reappointments, and step increases in pay.

The College will not normally reimburse faculty members for travel, per diem, or other costs of their research activities during a paid period of professional development, unless on approved official orders for a particular event. However, if funding is available such requests will be entertained.

Faculty members who are granted a paid period of professional development of six months or less will be permitted to apply for another such period only after three years have elapsed since the completion of the first period. Faculty members who are awarded a paid period of professional development of more than six months may not reapply for another such period until after five years have elapsed since the completion of the first period. The College will not permit any professor to be awarded more than twelve paid months of professional development in any six-year period of service on the faculty of the NWC.

(a) *Professional Development Option I: Periods of Relief from Departmental Responsibilities with Full Salary for 6-12 months.* A period of six to twelve months with full pay may be granted to a civilian faculty member for purposes of professional development. In most cases, applications for periods shorter than twelve months are more likely to receive favorable consideration. The faculty member's basic salary and other entitlements are unaffected by acceptance of this option.

1. Procedures to Apply for Option I of Faculty Professional Development. A faculty member interested in pursuing Option I of faculty professional development shall inform his or her Dean, Department Chair, or Director as early as possible, and not less than four months prior to the planned starting date, so that the manpower implications of the absence can be assessed and, if necessary, action taken to mitigate a personnel shortfall.

The applicant must submit a curriculum vitae and a written statement describing the purpose of the requested period of professional development and identifying the benefit expected for the individual and the NWC. All applications shall be routed

through the NWC's Office of the General Counsel and Human Resources Office for legal sufficiency.

In cases of multiple applicants, the responsible Dean, Department Chair, or Director will rank them according to the criteria listed in paragraph 5c(5) above. That Dean, Department Chair, or Director will submit the applications to the Faculty Professional Development Committee, explain each one, and justify his or her ranking of them.

The Faculty Professional Development Committee meets at the behest of the Provost as needed. This committee shall consist of the Chairs of JMO, NSA, and S&P; the Chairs of the Departments of Strategic and Operational Research and War Gaming in CNWS; the Dean of the College of Distance Education; the Dean of the College of Maritime Operational Warfare; the Dean of the Center for Naval Warfare Studies; the Dean of the College of Leadership and Ethics; the Dean of Academics, who shall chair the meetings of the committee; and one or more at-large senior members of the faculty whose expertise reflects the package(s) submitted. A Chair, Dean, or Director who submits an application for a candidate shall not have a vote on that submission.

The Dean of Academics shall provide the results of the Faculty Professional Development Committee's deliberations and voting to the Provost, who shall review the process of selection and have final right of approval.

Though faculty members may request a relief from departmental responsibilities of up to twelve months, the Faculty Professional Development Committee or the Provost may decide, in light of the number of meritorious proposals submitted and the financial resources available to support them, to grant a shorter period of relief from departmental responsibilities in a given case.

Faculty members granted any form of relief from departmental responsibilities must not accept full-time teaching assignments or other significant remunerative employment; to do so would be inconsistent with the intent of this policy and might create a conflict of interest. This proviso should not be construed as prohibiting faculty exchanges or acceptance of fellowships from civilian educational institutions or foundations. Indeed, faculty members are encouraged to seek such fellowships.

Faculty exchanges may be in the interests of the educational mission or academic reputation of the NWC and will be considered on a case-by-case basis by the Provost in consultation with the Deans.

Faculty members are reminded that research and written products developed during work hours are products of the Navy not susceptible to acquisition of a personal copyright by faculty members. During the time a faculty member is on professional development Option I status, the differentiation between personal work and official work will be difficult to determine. Faculty should review the section on copyright, paragraph 6e(2) below, and seek advice from the command SJA if unclear.

(b) *Professional Development Option II: Administrative and Teaching Periods of Relief from Departmental Responsibilities with full salary for 1-6 months.* A civilian faculty member may request a period of up to six months with full pay in

which he or she will be freed of all administrative or teaching duties in order to do research on an individual project. Such administrative research relief from departmental responsibilities is normally granted only during the term in which the faculty member's department is not teaching its core course and/or during the summer between Commencement and Convocation. For departments that do not have nonteaching terms and/or summer breaks, the period granted is at the discretion of the appropriate Dean, Chair or Director. A written request must be submitted to the responsible Department Chair, Director, or Dean at least four months in advance and must include an explanation of, and justification for, the research project. Requests must also be forwarded to the SJA or Office of the General Counsel and the Human Resources Office. Final approval rest with the Provost.

(c) *Professional Development Option III: Periods of Relief from Departmental Responsibilities without salary for 1-12 months*. A civilian faculty member may request a period of up to twelve months in a relief-from-departmental-responsibilities-without-pay status in which he or she will be freed of all administrative and teaching duties. This option is most appropriate for civilian faculty members who have been awarded research fellowships or grants by private foundations or other private sources and for civilian faculty members who have been invited to serve as visiting professors at civilian universities. It may also be appropriate for civilian professors or library staff who desire, for a period of up to twelve months, to engage in travel, study, writing, or private-sector consulting outside the limitations of normal War College duty. Periods of relief from departmental responsibilities without pay will not count as paid periods of professional development for the purposes outlined at the beginning of this section.

Approval of a request under this option will have an impact on fringe benefits. In general, the following guidelines pertain:

1. Federal life insurance coverage continues for up to twelve months without cost to the faculty member while on an approved relief from departmental responsibilities without pay.

2. The faculty member is eligible to continue hospitalization and medical insurance for up to twelve months, but he or she must repay premiums for this coverage.

3. Only six months of relief from departmental responsibilities without pay in any calendar year is creditable for retirement purposes.

4. All time in excess of six months in the same calendar year will result in an adjusted service-commencement date. For example, if a faculty member goes on relief from departmental responsibilities without pay on 1 January and returns to pay status one year later, retirement credit will be earned for only six months' service. If a faculty member goes on relief from departmental responsibilities without pay on 1 July and returns

to pay status one year later, the entire period would be creditable for retirement purposes.

Before making a decision with respect to Option III, a civilian faculty member shall consult with the Human Resources Office about specific details in relation to his or her entitlement. With respect to Options I–III, a civilian faculty member whose proposed activities might raise conflict-of-interest issues shall consult with the Office of the General Counsel about federal law and regulation. Requests must be routed to the respective Dean, the Office of the General Counsel, and the Human Resources Office.

(d) *Professional Development Option IV: Temporary Periods of Relief from Departmental Responsibilities to Accept Other Federal Employment.* Federal statutes preclude an individual from simultaneously holding more than one appointment that results in tangible benefit to him or her. Therefore, Option III cannot be approved for a faculty member who accepts a research or teaching position at another Service college or accepts any other paid appointment in the federal government. In situations of this nature, often the best course of action is resignation, in order to remove any appearance of impropriety or conflict of interest on the part of either the faculty member or the NWC. A civilian faculty member may submit a personal written request to the Provost, via the chain of command, the Office of the General Counsel, and the Human Resources Office for release from immediate NWC responsibilities for a period of up to twenty-four months in order to participate more fully in government affairs or accept an important assignment at another Service college. On an individual basis, and contingent on the availability of a funded faculty vacancy at a later period, the Provost will give positive consideration to reemployment of the faculty member. All parties to this agreement will understand that it is for consideration of the faculty member for vacancies, not for *pro forma* reappointment.

(e) *Professional Development Option V: Detailing to Other Agencies*. While infrequent, there may be times when an NWC faculty member is seconded to another government agency. Detail to an agency outside of DoD requires approval from DoD. During the period, the College may continue to provide pay and benefits to that employee.

(6) Human Research Protection Program (HRPP). Research conducted by NWC faculty and staff members involving human subjects must be reviewed and approved under the NWC HRPP. Human subjects are defined as living individuals about whom a researcher obtains data through interaction with the individuals, or through records containing identifiable private information (e.g., a medical record or student transcript). The HRPP's formal procedures ensure any necessary protections of personal privacy are properly identified and implemented. The DON HRPP oversees all training and education related to this program.

(a) *Institutional Review Board*. The Institutional Review Board (IRB) reviews, monitors, and makes recommendations for research involving human subjects in order to protect the rights of the human subjects. The Human Resource Protection Program (HRPP) POC oversees the overall program at NWC. Because of

the paucity of human subjects research conducted at NWC, the College uses the Naval Postgraduate School's IRB and IRB process.

(b) *NWC IRB Process:*

1. No human subjects research will be initiated at NWC until the Provost approves it in writing following reviews by the NWC HRPP Committee and the NPS IRB.

2. NWC personnel seeking to perform human research (including research to be conducted outside the confines of NWC), and any individual who seeks to collect personal information from NWC personnel for a human research project, must complete the required CITI IRB online training and contact the HRPP POC prior to initiating such research. The researcher (aka. Principal Investigator or PI) will provide the necessary documentation about the proposed research project to the HRPP POC who will review and direct modifications, if necessary, to ensure protection of human subjects. The NWC SJA then initiates a routing package through the HRPP Committee and other pertinent NWC personnel to submit their collective input to the Provost for an initial determination on the project. The Provost forwards the proposed research project to the NPS IRB Committee, which reviews and directs modifications if necessary to ensure protection of human subjects' personal privacy. Upon receipt of the NPS IRB's favorable findings, the Provost will approve the project for a period up to twelve months. If the research lasts longer, the PI must complete a continuing review and again seek formal IRB and approval.

3. PIs who believe their human subject research activities may be exempt can so inform the IRB by completing the Exempt Research portion of the Initial Review Form. These PIs can choose to submit only the paperwork required for an exempt protocol or may submit all paperwork needed for an expedited protocol. In accordance with SECNAVINST 3900.39E CH-1 (29 May 2018) the NWC HRPP POC will be the Exempt Determination Official (EDO). The EDO will review protocols, test plans, and other activities to determine if the proposed effort meets the definition of research involving human subjects and, if so, whether the research is eligible for exemption from the requirement for full IRB review. The EDO will notify both the PI and the IO of the findings. The EDO's findings will be documented and kept on file for DON HRPP and headquarters-level administrative review.

4. DOD regulations in 32 CFR 219.110 permit the IRB to review research through an expedited procedure if the research is minimal risk *and* falls within the categories of research eligible for expedited IRB review. An expedited review process may not be used for classified research and research that poses greater than minimal risk to subjects.

5. If the PI fails to adhere to the written guidelines, the Provost reserves the right to take the necessary steps to enforce compliance or, if necessary, terminate the research.

6. External Professional Development

All faculty members are expected not only to maintain currency, but also to enhance their expertise in their areas of specialization and, where possible, to extend the range of their knowledge in other areas relevant to their duties and the mission, functions, and tasks of the NWC. They are strongly encouraged to engage in activities that will increase their professional visibility outside the NWC and that will enhance the College's reputation among senior military commanders, policy makers, academics, professional organizations, and the general public. Examples of professional public interaction include participation, or involvement, in outside professional organizations, public lectures, or interviews, or engagement with individuals at other academic institutions or think tanks through public writings such as blogs, articles, or books. Given the number of legal and ethical issues associated with such activities, faculty members should consult with their supervisors and the SJA to ensure strict compliance. This is not intended to impose College oversight over the substance of any activity; it is solely to ensure procedural compliance with federal laws.

a. Official v. Personal Activities. Faculty members often have the flexibility to engage in professional activities outside of the College in either an official or personal capacity. Making this assessment can be challenging at times, and will depend on the facts and the desired outcome. This determination will play a pivotal role in evaluating how the faculty member should engage in that activity. An activity is clearly official if the faculty member was directed by higher authority to carry it out, or if the activity is intended to support NWC classes, conferences, or other events or taskings. Outside of these general parameters, the faculty member will generally have flexibility in determining whether a particular professional activity is official or personal. Once this assessment is made, the faculty member must abide by the legal and ethical parameters that flow from this determination.

b. Gifts of Travel. The Naval War College Foundation and other nonfederal entities often provide financial and in-kind support to the College that enables faculty members to engage in professional activities outside of Newport that enhance individual expertise and institutional visibility. These offers will be processed for approval by the Provost through the faculty member's Chair, Director, or Dean, as appropriate. All requests will be routed through the SJA for legal review. If the gift of travel is accepted, the faculty member will travel on official orders in his or her official

capacity. As such, he or she will utilize the Defense Travel Service (DTS) to acquire official orders to travel, and receive any appropriate reimbursements from the Navy, not from the outside private entity funding the trip.

c. <u>Membership in Professional Organizations</u>

(1) Official Capacity. In their official capacity, faculty may collaborate with groups and individuals outside the U.S. Government on matters of mutual interest and within the member's area of expertise. However, they may not become formal members of any outside organization in their official capacities except as liaisons, the purpose of which is to merely represent NWC interests, but not be a formal member of the group. This prohibition is in place to avoid the appearance that the NWC, the Navy, or DoD formally endorses or appears to endorse that group's views or positions, or the group as a whole. In practice, this means that a faculty member may not participate in the group's management decisions nor use his or her official NWC position to embrace or oppose any official views or positions that the group may take as a whole. The faculty member may engage in professional discussions with other members of the group, and, in an official NWC capacity, express opinions on matters within his or her area of expertise so long as they are accompanied by a prominent disclaimer that the views of the faculty member are not necessarily shared by the U.S. Government, DoD, the Navy, or the NWC. Requests to serve as an official NWC liaison to an outside professional organization shall be routed through the respective Chair, Director, or Dean, for ultimate approval by the Provost.

(2) Personal Capacity. In their personal capacity, faculty members are free to join most private organizations and groups, both within and outside their areas of expertise. (Groups that advocate the overthrow of the U.S. Government or support racist or supremacist views are among the few types of groups that U.S. Government employees may not join, even in a personal capacity.) They may help manage the group and privately endorse the group's views and positions. However, they may not use their official NWC positions in any manner that appears to imply the U.S. Government, DoD, the Navy, or the NWC endorses a particular view, or the group as a whole. Specifically, the faculty member may not identify him- or herself solely or prominently as an NWC faculty member when the group takes a position on any matter. Faculty members may only identify their official NWC positions when they are included as just one facet of many other biographical facts of their professional and/or personal lives.

d. <u>Engagement with the Media.</u> Faculty are also encouraged to appear on TV and radio broadcasts, and be quoted in newspapers and other public fora. The College considers these activities as within the official duties of faculty members so long as the comments are within the faculty member's substantive area of expertise, and the member is not being paid to make the statement. In such situations, faculty members may freely identify their official NWC positions when they engage in such activities. However, they must also ensure that they include a disclaimer that their comments are not reflective of official U.S. Government, DoD, Navy, or NWC positions. If faculty members have questions regarding the ethical or legal issues involved in a personal

or official activity, they shall consult with the Staff Judge Advocate prior to engaging in the activity. Faculty may also consult with the Public Affairs Office regarding media engagement advice and are encouraged to keep the Public Affairs Office informed of media engagement activities.

e. Research, Scholarship, and Publication. Professors must create new ideas as well as teach established knowledge. By doing so, they best serve their students, their profession, and their nation. Accordingly, the NWC expects all civilian faculty members to engage in professional research and exhibit a sustained commitment to scholarship. It expects most of them to publish at least some of the results of their research. NWC administrators may have a lower bar for research, scholarship, and publication, but are not alleviated from this responsibility. Military faculty members are not expected to publish, but are encouraged to do so in their areas of expertise. Faculty members may research, write, and publish in their official or personal capacity. Whether their research is official or personal will depend on a combination of factors, to include the use of government time and resources, and whether the work is a result of an NWC tasking or intended to be part of curriculum development. Faculty members should consult with their respective Chairs, Directors, or Deans and the SJA prior to beginning a research and writing project, in order to obtain the necessary information to fully understand the distinction between personal and official work, and to review the project for legal compliance. This is not intended to impose College oversight over the substance of any writings; rather, it is solely to ensure the faculty member procedurally complies with U.S. Government regulations and federal laws.

(1) Use of Government Resources and Personnel. Personal work may not utilize NWC personnel or resources, nor can the work be performed on official time. In contrast, official work may properly use NWC resources, personnel, and time. As a matter of policy, if working on controversial or highly visible issues, faculty members shall keep the appropriate Chairs/Directors, Deans, Provost, and PNWC informed so that the institution can better support these efforts.

(2) Copyright. The College recognizes that its faculty operate in an environment that is distinctly different from that of their colleagues in civilian public and private colleges and universities who are not U.S. Government employees. As a general practice, all publications not prepared by faculty members as part of their official duties and produced using a faculty member's personal time, resources, and equipment are considered to be *personal work*. NWC personnel may copyright personal work, including products involving matters within their areas of expertise as U.S. Government employees. A work will not be considered a personal work if it is prepared in support of any official tasker (including research or teaching directives), or if official time and resources (beyond any personal use of official resources permitted by the Joint Ethics Regulation and other guidance) are used to produce the work. Under 17 U.S.C. 101, such official work would be considered a work of the U.S. Government (an official work). In the case of an *official work*, and in accordance with the provisions of 17 U.S.C. 105, copyright protection is not available for such a work. Under this statutory provision, faculty members are not authorized to assign a copyright to a publisher in the course of

trying to arrange for publication of an *official work* produced as part of their official teaching or research duties.

The College recognizes that circumstances will, from time to time, require an interpretation of the College's policy with respect to copyright and the faculty's equities therein. When there is a question whether a faculty member's work product is *personal work* or *official work*, the College expects its faculty members to consult with their respective Chairs, Directors, or Deans as appropriate *and* the College's SJA prior to beginning a scholarly work to determine the nature of that work (i.e., *personal* or *official*) and to ensure that the faculty member is not vulnerable to violation of U.S. law and the Joint Ethics Regulation. Copyright concerns do not alleviate faculty members from conducting research, scholarship, and publication. Any concerns in this regard should be directed to the member's Chair, Director or Dean. There is no intent to establish a College policy that oversees the substance of any personal work.

(3) Security and Policy Review. DoD civilian personnel may write and sign articles for publication, as outlined in DoD Directive 5230.9, "Clearance of Information for Public Release." The main points of this directive are as follows:

(a) Information proposed for publication or public release that concerns or affects the plans, policies, programs, or operations of the DoD or the U.S. Government, and that is prepared by DoD personnel in either an official or a private capacity, shall be submitted to the Assistant Secretary of Defense (Public Affairs), Attention: Director, Freedom of Information and Security Review (DFOISR), for review and clearance prior to disclosure, if the information falls within certain security guidelines specified in the directive.

(b) Material submitted in compliance with the requirements of this directive will be cleared for public release only after it has been reviewed and necessary amendments have been made to ensure that it does not compromise classified national-security information. Material submitted for review must not contain information known by the author or the office of origin to be classified. Review by DFOISR is to ensure that the material does not contain classified information.

(c) In the interests of academic freedom and advancement of national-defense concepts in DoD's system of professional military education, DoD personnel shall be given the widest latitude to express their views, normally restricted only by security considerations. For all publications prepared in their private capacity, DoD personnel shall ensure the inclusion of disclaimers that the views expressed do not reflect the official policy or position of the U.S. Government, DoD, the Navy, or the NWC.

If any doubt exists in the mind of the author about classified information, the author must submit the material to the Director of the College's Security Department for clearance.

f. <u>Disclaimers.</u> Absent specific approval from appropriate higher NWC authority, faculty members who identify their official NWC positions in any verbal or written statement intended for accessibility by individuals outside NWC must include

a statement that expressly states that the views presented are those of the speaker or author and do not necessarily represent the views of DoD or its components. Where a disclaimer is required for an article, book, or other writing, it shall be printed in a reasonably prominent position in the writing itself. Where a disclaimer is required for a speech or other oral presentation, the disclaimer may be given orally provided it is given at the beginning of the oral presentation.

g. Consulting and Other Outside Employment. Faculty members are sometimes offered compensation by outside individuals or nonfederal entities for verbal or written work on a topic within the member's area of expertise. No such outside compensation may be accepted for official work performed for NWC. This may enhance an individual faculty member's professional competence, or merely provide additional compensation. Although participation in these activities can benefit the NWC as well as the individual, it can also give rise to interference with primary duties, the risk of dual allegiance, and the possibility of conflicts of interest. In particular, individuals may not accept compensation from a source other than the U.S. Government for work performed on official time or using U.S. Government resources. Outside employment by NWC personnel in activities that interfere with the individual's College obligations, whether or not they involve remuneration, should not be undertaken. It is the responsibility of all members of the faculty and the staff to inform their Department Chairs or Directors, the relevant Deans, and the SJA in advance of any proposed engagement in employment outside the College; if they have not done so, but are currently engaged in outside employment, they must notify the aforementioned authorities at once. All faculty requesting outside employment shall submit an outside employment questionnaire, available from the SJA's office, which is routed via the chain of command and the SJA. All requests for outside employment require Provost approval.

(1) Conflict of Interest and Dual Compensation. To avert possible difficulties for personnel who are currently engaged in or considering outside employment, all NWC personnel, both civilian and military, shall adhere to the following basic principles:

(a) Government facilities, property, and manpower may only be used for officially approved purposes;

(b) Government employees may not use government facilities, property, or manpower for private gain;

(c) Government employees may not engage in any activity that might result in a conflict of interest or the appearance of a conflict of interest;

(d) Government employees may not receive pay from two sources (dual compensation) for the performance of their official duties;

(e) Government employees may not use, directly or indirectly, "inside information" or nonpublic information for private gain, either for themselves or for others;

(f) Government employees may not use their grades, ranks, titles, or positions in connection with any commercial enterprise or in endorsing any commercial product. This does not preclude author identification for materials published in accordance with DoD procedures;

(g) Government employees may not engage in outside employment or other outside activity, with or without compensation, that may reasonably be expected to bring discredit on the federal government in general and the DoD in particular;

(h) Government employees may not engage in outside employment, with or without compensation, that is in any way inconsistent with prescribed standards of conduct, including the requirement to avoid actions and situations that can reasonably be expected to create the appearance of conflict of interest.

(2) Travel in Conjunction with Consulting Activity. NWC faculty and staff members who propose to perform consulting work involving travel should make travel requirements and plans known to their Department Chairs or Directors and Deans at the time that notice is given of the consulting agreement, and shall inform the Department Chairs or Directors and Deans of subsequent changes in travel requirements or plans. As noted above, the primary responsibility of NWC personnel is to the College; this responsibility must not be compromised.

h. Honoraria. NWC faculty members, staff, and students may accept honoraria under specifically prescribed conditions. A faculty member, staff member, or student may accept an honorarium, providing the amount does not exceed usual and customary fees up to a maximum of two thousand dollars for an appearance, a speech, or an article published in a bona fide publication, if such an appearance, speech, or article is customary for scholarly or academic activities normally associated with institutions of higher learning and if the following conditions are met:

(1) The purpose of the appearance, or the subject of the speech or article, does not relate primarily to the responsibilities, policies, or programs of the NWC.

(2) The appearance, speech, or article (including the individual's time in specific preparation for the appearance, speech, or article) does not involve the use of government time, government property, or other resources of the government or the use of nonpublic government information.

(3) The reason for which the honorarium is paid is unrelated to the individual's duties or status as a member of the armed forces or an employee of the government or as a faculty member or student at any professional military school operated by the DoD, as designated by the CJCS (e.g., the activity was undertaken as part of the faculty member's official duties or the invitation to engage in the activity was extended primarily because of the faculty member's official position).

(4) The person offering the honorarium has no interests that may be substantially affected by the performance or nonperformance of the individual's duties as a member of the armed forces or as an employee of the government or as a faculty member or student at a school operated by the DoD, as designated by the CJCS.

An appearance, speech, or article on subject matter that is within an individual's academic or military specialty, under provisions of this exception, is not considered to relate primarily to the responsibilities, policies, or programs of the NWC and is therefore permissible, if preparation and presentation of the particular appearance, speech, or article are clearly outside of the individual's duties.

The scope of the Ethics Reform Act of 1989 is applicable to all members of the NWC faculty, both civilian and military. The term "honorarium" means a payment of money or anything of value for an appearance, a speech, or a published article (including a series of appearances, speeches, or articles).

7. Other Academic Policies

a. Unauthorized Attribution and Recording of Comments at Educational Events. The College's educational mission requires a climate conducive to the free and open exchange of ideas and opinions by students, faculty, and guest speakers. To this end and unless otherwise announced by the College or someone with authority to speak for the College, all lectures, seminars, and similar academic or policy discussions (to include conferences, workshops, roundtables, etc.) at the College are subject to the Chatham House Rule (CHR). The CHR reads: "When a meeting, or part thereof, is held under the Chatham House Rule, participants are free to use the information received, but neither the identity nor the affiliation of the speaker(s), nor that of any other participant, may be revealed."

To support this policy, no student, faculty, staff member, or guest of the College may, without the express permission of the College, use any electronic device or other method to record any lecture, seminar, or similar event at the College, whether live, streamed, stored on any NWC network or on any removable storage device, or in any other manner.

The effect of the CHR is to separate a statement from its source. For example, a student may not in week two of a course publicly ask a guest lecturer a question prefaced by the comment "Last week General X stated that . . ." Similarly, statements made by faculty or students in a seminar cannot be reported and attributed outside of the seminar. Thus students, faculty, or guests cannot claim orally, on a blog, or any other way, "CAPT Y is being hypocritical in advocating the use of mines, because in seminar he argued that they were inhumane." Specific quotations are also to be avoided if they are likely to be traceable to specific individuals. A professor should not say, for example, "One of my [demographic category of which the War College has few students] students said that while deployed."

The CHR is relaxed in settings such as classroom discussions that are themselves subject to the rule. Also, the use of quotations in academic papers, professional articles, or other works is allowed when the author has secured the explicit permission of the source individual.

These policies apply to all students, faculty, staff, and visitors. They apply not only to events on the grounds of the College but also to CDE, remote classrooms, seminar off-sites, and other meetings run by the College. The policies are designed to

support the free exchange of ideas and opinions without fear of retaliation and to encourage visiting dignitaries to speak freely. They should encourage the discussion of ideas and concepts central to an education in JPME at the master's degree level in both formal and informal settings. The policies do not protect any individual against improper speech, discussion, or behavior. However, if the comments are transcribed or recorded, a release form must be signed prior to the speech and the recording is subject to Freedom of Information Act (FOIA) regulations.

b. Freedom of Information Act. The FOIA (5 U.S.C. 552) requires the release of information in agency records to the public, unless the information is exempt from release and disclosure would jeopardize a governmental interest. The exemptions are defined by statute and explained by SECNAVINST 5720.42 (series). The NWC non-attribution policy cannot transform otherwise releasable information into exempted information. While the non-attribution policy supports a governmental interest that could be jeopardized by disclosure of information, (i.e., academic freedom) no "blanket exemption" applies to speeches, briefings, lectures, or remarks presented at an educational institution. If the information conveyed by a speaker is recorded or transcribed and does not fall within an exemption, it must be released in response to a request under the FOIA. Similarly, any writing that is retained as part of NWC records is subject to release under the FOIA. To ensure consistent implementation of this policy, the PNWC, has the authority to determine whether to release information to any requestor from outside the College, whether or not the FOIA is cited as authority for the request, when that information was obtained subject to the non-attribution policy. The SJA is the FOIA program action officer. All requests that fall or appear to fall within the FOIA are to be promptly referred to the FOIA program action officer for appropriate resolution. If such requests are received by other offices in the College, they shall be immediately delivered to the FOIA program action officer for processing.

c. Political Activities of Faculty Members. The Hatch Act in Title 5 of the U.S. Code and its implementing regulations place restrictions on the ability of federal civilian employees to participate in partisan politics. Service members have similar restrictions imposed by DoD Directive 1344.10. Specific inquiries or questions concerning these regulations should be addressed to the SJA.

d. Videotaping and Audiotaping of Lectures

(1) Naval War College Faculty. NWC lectures may be recorded for subsequent review or educational use. Lecturers will be made aware that they are being recorded. Any recordings become the property of the NWC, and remain subject to the CHR discussed in paragraph 7a above. Copies of SECRET, and below, audio- and video recordings made or reproduced by the Audiovisual Branch will be controlled by designated control points. Master classified video recordings of NWC–generated videotapes will be under the control of the Classified Material Control Officer (CMCO). Master recordings of NWC–generated classified audiotape cassettes, digital recordings, and DVDs will be maintained by the NWC Classified Library, located in the Main Library.

(2) Visiting Lecturers. Each NWC visitor invited to speak before an audience will be informed of the non-attribution policy by the host/host department, and of the possibility of mandatory disclosure under provisions of the Freedom of Information Act, if the information conveyed by the speaker is recorded or transcribed and does not qualify for an exemption. The speaker's consent or objection to being recorded will be documented and reported to the Director, Office of Protocol and Events on an NWC form provided for that purpose. Recordings, if made, will be appropriately labeled to notify holders of any assertion of copyright protection and of the applicability of the non-attribution policy.

e. Participation of Non-College Personnel. The NWC conducts an extensive visiting-lecturer program in support of the curricula. These speakers are often senior decision makers who are asked to express candidly their professional and personal views in a non-attribution forum. An unscreened audience might limit the candor of the speaker and have the unfortunate effect of restricting his or her responses to questions. Therefore, only personnel with NWC badge identification, commanders and commanding officers of local commands, and those who have been authorized by prior arrangement are admitted to presentations (of any security classification) that are part of the curricula. Each NAVWARCOLNOTE 5050 must specifically address this issue and identify a point of contact for those in the local area who want to obtain advance permission to attend.

f. Use of Personally Owned Computers and Software. NWC faculty and staff members shall, as a matter of practice and policy, predominately utilize government furnished equipment, (e.g. computers/workstations and software) to do government-related work. Faculty and staff are authorized to use portable personal devices on the academic Wi-Fi (BYOD network) for personal professional development, personal research in their area of interest, classroom demonstration, or in the case of mobile devices, to stay in communication with students via email, etc. as long as the related data is stored, viewed, and manipulated from online repository in the related NWC official application/solution (e.g. Exchange Online (as part of the NWC O365 environment), Blackboard, etc.

g. Congressional Testimony. Faculty are occasionally approached directly by members of a congressional committee to testify as subject matter experts. If a faculty member accepts an invitation, his or her responsibilities to the NWC and the Navy include the following.

(1) The faculty member shall notify his or her Departmental Chair, who will then inform the departmental Dean, Deputy to the Provost, PNWC, Public Affairs Officer (or the Director of Strategic Communications), and SJA to ensure that the chain of command is informed, and if either media or legal issues arise, that the appropriate NWC staff members are aware.

(2) The Deputy to the Provost will connect the member with the Navy's Office of Legislative Affairs (OLA) for further guidance on administrative requirements and timelines. Testimony is required to be submitted to OLA within a particular time frame ahead of the testimony date for a security and policy review.

Testimony is not submitted directly to the committee. OLA will also provide the faculty member with logistical support as needed when the faculty member travels to Capitol Hill. NWC's OLA point of contact is available at 703-695-5276.

(3) The Deputy to the Provost and the Public Affairs Officer are liaison for the College with OLA and will assist faculty who have any questions on the process.

8. Administrative Policies

a. Equal Employment Opportunity. Consistent with the DoN's Equal Employment Opportunity (EEO) objectives, it is the policy of the NWC to offer all persons equal opportunity for employment, advancement, and treatment regardless of race, color, sex, religion, national origin, age, or physical condition. The NWC seeks to achieve a fully integrated civilian workforce and ensure an environment free from discrimination or sexual harassment. Faculty members, and particularly those in leadership positions, are key to an effective program. Active participation in meeting established EEO goals and objectives will ensure that the NWC achieves a balanced workforce.

(1) Disabled. The policy of the NWC is to provide an opportunity for qualified persons with physical or mental impairments to be considered fairly for all positions in which they are able to perform the job duties efficiently and safely.

(2) Sexual Discrimination and Harassment. Sexual harassment will not be tolerated at the NWC. Any military member or civilian employee of the College who engages in sexual harassment will be subject to appropriate disciplinary action. Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when:

(a) Submission to, or rejection of, such conduct is made either explicitly or implicitly a term or condition of a person's job, pay, or career; or

(b) Submission to, or rejection of, such conduct by a person is used as a basis for career or employment decisions affecting that person; or

(c) Such conduct interferes with an individual's performance or creates an intimidating, hostile, or offensive work environment.

The policy of the DoD and the DoN prohibits all forms of discrimination that are unlawful under applicable local, state, and federal laws. These include, but are not limited to, discrimination or harassment based on race, color, religion, sexual orientation, national origin, and disability. Section 703, Title 7 of the Civil Rights Act of 1964, found at 42 U.S. Code 2000e, prohibits sexual harassment in the workplace. Of particular concern is the opportunity for sexual harassment or misconduct based on the hierarchical and subordinate structure inherent in any educational or military institution. Questions regarding Equal Employment Opportunity can be addressed to the Equal Employment Opportunity Specialist at (571) 438-3982.

b. Grievance Procedures. The following is a general overview of grievance procedures. For more information on how to file a grievance contact the Human Resources Office.

(1) Civilian faculty members, like all civilian employees of the NWC, are protected by federal-service rules and regulations as well as by the EEO program. It is the policy of the College to consider and resolve matters of concern and dissatisfaction to faculty and staff at the lowest possible organizational level. Open, frank, and honest exchanges of information among the parties concerned are strongly encouraged. When informal solutions are insufficient, grievances may be reported through the individual's chain of command. If an individual perceives that a valid reason exists for not first taking a grievance to the immediate supervisor, the individual may communicate with, and seek advice from, the Human Resources Office. Employees are encouraged to participate in alternate dispute resolution.

(2) Military faculty members have access to the PNWC, Provost, and respective Deans through their military superiors, via the chain of command. For academic issues they may reach the appropriate Dean via the departmental executive assistant, Department Chair or Director.

c. Fraternization. Students, faculty, and staff will often establish strong personal relationships with each other. It remains imperative that such relationships respect differences in pay grade and position between individuals in order to safeguard an environment free of actual or perceived professional bias and/or preferential treatment.

Relationships that fail to respect such professional differences are unduly familiar and are considered improper fraternization. Specifically, relationships that involve dating, romantic exchanges, physical intimacy, or frequent personal social interaction outside of established professional or social group settings are prohibited as follows:

(1) Relationships between Faculty and Students. NWC faculty members, both military and civilian, are prohibited from having such relationships with any NWC student when the faculty member's position within the College reasonably creates an actual or apparent professional bias or preferential treatment relating to academic matters with the student. For example, a faculty member may not have a romantic relationship with a student enrolled in his or her primary teaching department or elective course. If the relationship begins prior to the faculty member's teaching trimester for the student, the faculty member shall notify the department's executive assistant to ensure the student is not assigned to the faculty member's seminar.

(2) Relationships among Faculty and Staff. Faculty and staff are only prohibited from having such relationships with any individual in their direct chains of command. For example, a Department Chair may not have a romantic relationship with a faculty or staff member in his or her department, but it would be acceptable for that Department Chair to have a romantic relationship with a faculty or staff member in another department.

(3) Relationships between Staff and Students. NWC staff personnel are prohibited from having such relationships with any NWC student only when the staff member's position within the College reasonably creates an actual or apparent

professional bias or preferential treatment relating to academic matters with the student.

Personnel are strongly encouraged to consult with the chain of command or the NWC SJA to determine whether a given relationship may violate this policy. Military personnel are also reminded of their concurrent obligation to abide by existing Service-specific fraternization guidelines.

d. Nepotism. NWC officials may not appoint, employ, promote, advance, or advocate the appointment, employment, promotion, or advancement of a relative in the same chain of command in which the individual is serving or over which he or she exercises jurisdiction or control.

e. Drug-Free Workplace Program. The SECNAV's policy and objective are to provide a workplace free from illegal drug use. A DoN Drug-Free Workplace Program (DFWP) has been established for the purpose of achieving this goal. One feature of the DFWP is the designation of test-designated positions (TDPs). All NWC positions requiring TOP SECRET clearance have been designated TDPs. Applicants for such positions shall be administered drug-screening tests as part of the employment suitability determination process. The results must be negative in order to satisfy a condition of employment. Occupants of TDPs will be periodically subjected to random drug-screening tests. Testing positive for drugs will be grounds for termination.

f. Access to and Maintenance of Faculty Employee Records. The NWC complies with the Department of the Navy Privacy Act Program and provides safeguards for all employees against an invasion of personal privacy, except as exempted by law. Personnel at all levels of authority within the NWC should ensure that personal data are only acquired, maintained, or disclosed in accordance with provisions of NAVWARCOLINST 5211.5 (series) and that, upon request, each individual is eligible to have access to, and/or be given the opportunity to amend, his or her own record. A list of NWC record-system managers is contained in NAVWARCOLINST 5211.1 (series). The SJA is the NWC Privacy Act coordinator and point of contact for administration of the Privacy Act Program within the College.

g. Naval War College Logo Guidelines. Educational institutions have discovered the strength of a singular recognizable identity. The NWC has a time-tested logo. That logo represents who the NWC is and what people have come to expect from the College. The policy for the College will be a more singular visual identity in our products.

The preferred identity system is for all products (i.e., booklets, PowerPoint, posters, banners, etc.) to quickly and readily identify the College by utilizing the NWC logo or appropriate wordmark. The following entities are authorized to use their existing logos; but they are not required to do so. These legacy logos are subject to adjustments by the Graphics Department to convey clear association with the NWC.

(1) Naval Command College

(2) Naval Staff College

(3) Center for Naval Warfare Studies

(4) College of Distance Education

(5) War Gaming

(6) China Maritime Studies Institute

(7) Cyber and Innovation Policy Institute

(8) Russia Maritime Studies Institute

(9) Center for Irregular Warfare and Armed Groups

All other logos are considered historical and are not to be used.

If an authorized entity feels the need to include their legacy logo, the NWC logo will always be treated with priority placement and prominence. No new logos will be designed or utilized. This is not the end of creativity as our Graphics Department, rather than designing new logos, will continue to produce creative and compelling products which aid the communication of the College's endeavors.

The Graphics Department is the repository of the College symbols such as the logo, wordmarks, and seal. Graphics will provide wordmark treatments to all appropriate end users. A wordmark conveys association with the NWC while reflecting the unique identity of the particular entity. A set of wordmarks will include both horizontal and vertical treatments as well as colored and monochrome treatments (as appropriate for best visual display).

9. Support Services

a. <u>Preparation of Course Materials.</u> Timely and efficient preparation of course materials is an important support service for NWC faculty members. The large volume and high cost of course materials put a premium on optimal planning, scheduling, and utilization of resources devoted to copying, duplicating, and printing. Under the coordination of Business Operations, Print & Distribution Division, every department or program has a designated liaison representative. Each faculty member should work closely with this representative in order to ensure that NWC instructional materials are professional in appearance and that requests for service are made with sufficient lead time to avoid crisis situations. NAVWARCOLINST 5600.1 (series) should be consulted for more specific information to assist in planning for timely printing, and distribution.

(1) Reproduction of Classified Materials. Faculty members must give special attention to any project that may require reproduction of classified materials. Duplication of classified documents should be held to an absolute minimum. All classified material must be checked by the Classified Material Control Officer (CMCO) prior to reproduction. The CMCO will advise the originator as to the next step, in line with the nature of the material and its intended use. Classified materials should be hand delivered in appropriate containers to the proper servicing personnel to ensure that instructions for handling and formatting the documents are in compliance with prevailing security regulations. It is the responsibility of the

originator to see that classified materials are properly identified and routed through the appropriate control-point custodian. Improperly marked classified materials will be promptly returned to the originator for disposition.

(2) Reproduction of Copyrighted Material. Intellectual property has become an ever-increasing matter of concern within the academic community, especially with the arrival of high-tech multimedia formats and electronic modes of distribution. Faculty members should always be aware of the potential for infringement of copyright when generating multiple copies of any copyrighted material for assigned reading. They should also be careful to use appropriate citations for original works and reproductions. Because copyright infringement can result in legal actions carrying severe monetary penalties, restrictions on copyrighted materials are closely observed by the NWC. Material submitted for reproduction within the NWC requires review by the Copyright Division to ensure that the copyright owner's permission to reprint the material has been officially requested by appropriate means and obtained in time to meet required deadlines.

b. Information Resources. Staff and faculty use the Information Resources Department (IRD) Help Desk to sign a user agreement for, and receive an account on, the NWC unclassified network (C-Net) and/or the Secure Internet Protocol Routed Network (SIPRNET). Help Desk walk-in hours are 0700–1700 Monday through Friday. To avail themselves of this service, new faculty must be in possession of an NWC identification badge. Users of the network are responsible for familiarizing themselves with relevant information-assurance instructions, available on the NWC intranet.

c. Audiovisual Support. Audiovisual (AV) support is available 0800–1600, Monday through Friday, excluding holidays. Available services include equipment loans; instruction on equipment use; operator support in auditoriums, classrooms, and briefing rooms; television presentations via VBrick; distribution of satellite programs; and videotaping of official events. Standard infrastructure for AV equipment is maintained in each classroom, auditorium, conference room, and seminar room. Special requests for additional services, such as special equipment setups and video recording, may be arranged by telephone (841-6452/7744/6517) or via e-mail request at IRD-AV@usnwc.edu. Requests should be received at least forty-eight hours prior to the scheduled event. Events are recorded, stored and streamed via Panopto. Events stored on Panopto are stored indefinitely and are available upon request (attribution permission pending).Video projectors and screens are available for loan to students, faculty, and staff to support the core curriculum. Audio recordings of past lectures are available on audiocassettes and audio CDs and are kept in the NWC Classified Library and are available for checkout to students although they remain subject to the CHR.

d. Graphics Department. The Graphics Department is located in Pringle Hall, P-348; 401-841-3537. It supports the College and associated missions by providing visual design solutions that convey a clear message. Mission support ranges from name tags and plaques, diplomas and awards, maps and charts, signage and displays,

to support of workshops, conferences, and training events at the CNO-level. Graphics maintains the standards for use of NWC logo, wordmarks, fonts, colors, etc., in order to preserve an easily recognizable and consistent look of the NWC. Graphics also provides engraving support, which can be requested via the NWC intranet.

e. Speakers Bureau. Public speaking by military and civilian members of the NWC faculty, staff, and student body in a manner consistent with the DoD public information policy is encouraged. The Public Affairs Office administers the NWC Speakers Bureau and is responsible for vetting public requests for speakers and soliciting volunteers for local community outreach–type engagements. Faculty, staff, or student-body members who receive outside public-speaking requests of a community relations nature must notify and coordinate their responses through the Public Affairs Office. Requests in support of other military units or academic institutions are not considered within the scope of this policy. Public speeches that require a security and policy review as outlined in DoD Instruction 5230.29, "Security and Policy Review of DoD Information for Public Release," must be submitted via the Public Affairs Office. Questions about policy or about the propriety of proposed public statements should be referred to the Public Affairs Office.

f. Naval War College Library. The Naval War College Library supports the research and education mission of the college through resources and services offered both online and in the Learning Commons housed in Hewitt Hall. The Library not only serves the resident college community and distance education students but also visiting scholars, dignitaries, and the broader academic and military communities.

The library is composed of two divisions: The Henry E. Eccles Library houses the reference, microform, periodicals, and general circulating collections, along with the Federal (Superintendent of Documents) Depository collection. The library collections include more than 300,000 print and e-books, access to more than 65,000 print and e-journals, and approximately 500,000 microforms. The Library offers Interlibrary Loan services for individuals requesting materials not included in its collections.

The Classified Library Branch, an open secret storage secure room, is located on the mid-level of the Learning Commons. This library houses over 66,000 volumes representing 43,000 titles, including Naval Warfare Publications, lectures, and NWC generated research projects. Students, faculty, and staff with SECRET security clearances may use the Classified Library's SIPRNet computers to search classified online resources and to send and receive classified e-mail. Also available are two classified classrooms that support video teleconferencing (VTC) and have a combined seating capacity of 40 persons. The Classified Library is also an approved hub for data transfers between security domains and offers SECRET scanning capability.

g. Naval War College Communications Integration Strategy Office and Public Affairs

The NWC maintains a Communications Integration Strategy Office (CISO) to support the College's communications and Public Affairs objectives. The CISO Director is the principal advisor to the PNWC and College leadership on issues relating to strategic communications and public affairs. The Public Affairs Office,

under the guidance of the CISO Director, will serve as the official point of contact for relations with media representatives, and communicate information about the College's programs, activities, missions, and responsibilities to both external and internal audiences. The Public Affairs Officer serves as a liaison with the U.S. Navy Office of Information (CHINFO). The Public Affairs Office should be consulted and informed in a timely manner about all events, programs, developments, media engagements, and publications that may have public affairs implication. Proposed public speeches, articles, or books that require a security and policy review as outlined in DoD Instruction 5230.29, "Security and Policy Review of DoD Information for Public Release," must be submitted to the Public Affairs Office for processing. Navy public affairs policy as outlined in SECNAVINST 5720.44C, "Department of the Navy Public Affairs Policy and Regulations," applies to all levels of the command at to all Navy employees.

h. Naval War College Museum. This national historic landmark, located in Founders Hall, is a museum of the history of naval warfare that collects, preserves, and interprets historical properties that illustrate (1) key concepts in the evolution of maritime strategy and naval operations from antiquity to the present; (2) the history of naval activity in the Narragansett Bay region from the colonial period to the present; and (3) the institutional history of the NWC since 1884. The museum is operated cooperatively by the NWC and the Naval History and Heritage Command through a memorandum of agreement. The Executive Director of the museum is a NWC faculty member and directs the John B. Hattendorf Center for Maritime Historical Research. The museum serves educational purposes for faculty, staff, and students attending the NWC and other local commands as well as the general public. The museum's educational objectives are complemented and informed by the historical research, writing, and publications of the Hattendorf Center.

i. Archives, Manuscripts and Rare Books. The Archives, Manuscripts, and Rare Books branch of the Hattendorf Historical Center collects and preserves materials relating to naval and maritime history, including particularly the history of the NWC and Narragansett Bay.

j. Naval War College Foundation. The Naval War College Foundation is an independent, non-governmental corporate organization constituted for charitable educational purposes, specifically to solicit, receive, administer, and donate funds and property for the encouragement, support, and furtherance of traditions of the NWC and its capabilities to carry out its mission, and for the improvement and beautification of the NWC physical facilities in areas where federal funds are not available. Legally a separate entity, the Foundation is neither controlled nor operated by the DoD or the NWC. The Foundation supports a variety of programs designed to enrich the academic experience for both the student body and the faculty. These programs, which involve both direct and indirect support, help increase public awareness of the NWC, support faculty research and other special projects, recognize special student accomplishments at graduation, promote special lectures and conferences, and acquire naval artifacts and other archival material to expand the research resources of the College library and museum.

10. Conditions of Work

a. <u>Vacation and Leave Policy</u>

(1) Civilian Faculty. Members of the civilian faculty earn annual leave incrementally while they are in a pay status. The number of days earned depends on their years of service and other factors. Normally, full-time faculty members with fifteen years or more of service earn twenty-six days of annual leave a year; those with three but less than fifteen years earn twenty days; and those with less than three years earn thirteen days. In addition, full-time employees earn thirteen days of sick leave each year. The amounts may be reduced proportionately for any part of the year a member is in a non-pay status. Exact provisions of the federal-service leave policy may be found at the www.opm.gov website.

The federal-service status of civilian faculty means less flexibility in the use of the holiday recess period and of the non-teaching periods during the academic year than that which exists at many civilian universities. Federal Service Regulations recognize only two possible types of employee status: work status or leave status (i.e., annual, sick, holiday, leave without pay, etc.). Thus, a faculty member must be in one or the other status throughout the year, even during periods when classes are not in session. During such periods, if faculty members are not in a leave status, they are expected to be engaged in, or available for, work for the College.

Faculty members often spend the holiday recess and nonteaching periods engaged in research, professional writing, course preparation, or other academic activities, with the concurrence of their supervisors. Other faculty members may be designated by their Department Chairs to undertake necessary tasks for the department or the College, (i.e., developing curriculum, teaching refresher courses, or doing departmental administrative work). Faculty members who do not expect to be available for nonteaching duties during these periods are expected to submit leave requests for the days of non-availability.

Federal Service Regulations require that each faculty member must be provided an opportunity during a calendar year to take the annual leave earned in that year. A leave year begins on the first day of the first full pay period in a calendar year and ends on the last day of the last pay period that starts in that calendar year. Civilian faculty members are permitted to carry over an accumulation of thirty days annual leave each year. Generally, excess leave will be permanently lost unless used by the end of the leave year. Accrued leave in excess of the maximum permissible carryover is normally automatically forfeited at the end of the leave year. Civilian faculty members must obtain advance approval from their departments and must have leave approved before departing.

Civilian faculty members may be granted annual leave for emergency reasons at any time. Except in cases of emergency, civilian faculty members may not be granted extended leave when classes are in session. When requesting emergency leave, employees are obligated to notify their immediate supervisors of their inability to report and shall advise of the probable durations of their absences.

Provisions for other authorized leaves and absences are covered above, in section 5 of this chapter. Other questions concerning civilian-leave matters not covered in the *Faculty Handbook* should be referred to the Human Resources Office.

(2) Military Faculty and Staff. Deans, Department Chairs, and Directors are expected to manage leave programs for military as well as civilian faculty and staff in a manner that ensures personnel are afforded ample opportunity to use earned leave. The scheduling of leave during Thanksgiving, the winter holiday period, and over the summer months, must be coordinated to provide for carrying out administrative functions and other necessary work. The specific policies concerning leave and liberty during academic recess and holiday periods are promulgated by the Vice President/Chief of Staff.

Navy faculty and staff process leave requests from the Administrative Services Office. Non-Navy military personnel obtain requests from, and return approved leave requests to, the appropriate Service advisory office via their Department Chairs. Deans, Department Chairs, executive assistants, and Directors process leave requests as the authorizing officer. The Deans have approval authority for their military faculty and staff, subject to appeal to the PNWC.

b. <u>Other Leaves and Absences</u>

(1) Sick Leave. Sick leave is accrued by all civilian personnel at the rate of four hours per pay period. There is no limit on the number of hours of sick leave that may be accumulated. No lump-sum payment will be made for unused sick leave when employees leave the federal service, but such leave may be credited toward annuity time. However, if the employee is reemployed in the federal service within three years from the date of separation, the unused sick leave will be re-credited to his or her account.

Normally sick leave is granted under the following circumstances:

(a) When the individual is ill or disabled to the point where he or she is incapacitated for the performance of duty;

(b) When absence is required because of pregnancy and confinement;

(c) When absence is required for medical, dental, or optical examination or treatment; and/or

(d) When a member of the immediate family of the employee is afflicted with a contagious disease and requires the care and attendance of the employee; or when, through exposure to contagious disease, the presence of the employee would jeopardize the health of others.

Procedures for reporting absence due to illness are as follows. An individual who is unable to report for assignments because of incapacitating illness or injuries shall notify his or her supervisor of the reason for the absence at the earliest practical time. Normally, this should be done within the first two hours of the regular workday. Failure to comply with this reporting requirement may result in the absence being charged to absence without leave. Faculty and staff members absent for periods up to,

and including, three consecutive workdays must immediately request the sick leave through the SLCDADA payroll system upon returning to work. Special provisions, including submission of medical certification or statement, must accompany the sick leave request for periods of absence in excess of three working days when requested by the supervisor.

Advance sick leave may be granted when the illness or incapacity is of such duration as to require use of all available sick and annual leave. The maximum permissible allowance in cases of serious disability or illness for advance sick leave is thirty workdays or 240 hours. Applications for advance sick leave, accompanied by medical verification and prognosis, are submitted on the SF 71 to the Provost via their appropriate departmental leadership and the Human Resources Office.

(2) Sick Leave for Family Care or Bereavement Purposes. An employee is entitled to use sick leave for any of the following instances.

(a) Provide care for a family member who is incapacitated as a result of physical or mental illness, injury, pregnancy, or childbirth;

(b) Attend to a family member receiving medical, dental, or optical examination or treatment;

(c) Provide care for a family member who would, as determined by the health authorities having jurisdiction or a health care provider, jeopardize the health of others by that family member's presence in the community because of exposure to a communicable disease;

(d) Make arrangement necessitated by the death of a family member or attend the funeral of a family member.

(3) Family and Medical Emergency Leave. Under the Family and Medical Leave Act of 1993 (FMLA), most federal employees are entitled to a total of up to twelve workweeks of unpaid leave during any twelve-month period for the following purposes:

(a) The birth of a son or daughter of the employee and the care of such son or daughter;

(b) The placement of a son or daughter with the employee for adoption or foster care;

(c) The care of a spouse, son, daughter, or parent of the employee who has a serious health condition; or

(d) A serious health condition of the employee that makes the employee unable to perform the essential functions of his or her positions.

Under certain conditions, an employee may use the twelve weeks of FMLA leave intermittently. An employee may elect to substitute annual leave and/or sick leave, consistent with current laws and OPM's regulations for using annual and sick leave, for any unpaid leave under the FMLA. The amount of sick leave that may be used to

care for a family member is limited. FMLA leave is in addition to other paid time off available to an employee.

(4) Voluntary Leave Transfer Program. NWC civilian faculty members are eligible to participate in the Voluntary Leave Transfer Program, under which unused accrued annual leave may be transferred for use by other employees who need such leave due to a medical emergency. Individuals who desire to become a "leave recipient" or who volunteer to become a "leave donor" must submit a written request and obtain approval from the Provost. Should a potential "leave recipient" be unable to make an application for voluntary leave transfer, a personal representative of the employee may make written application on the employee's behalf.

(5) Military Reserves Tours of Duty. Civilian faculty and staff members who are members of reserve components of the armed forces may utilize military leave with pay for a maximum of fifteen days during any fiscal year when ordered to active duty. If employees are called to active duty for periods in excess of fifteen days, annual leave, compensatory time, or leave without pay may be used to cover the portion of the absence for which military leave is unavailable. A copy of the military order must be provided to the supervisor and the Human Resources Office.

(6) Jury Duty and Subpoenaed Witnesses. Personnel may be granted court leave, an authorized absence with pay, without charge to annual leave when they are:

(a) In attendance in court as a witness on behalf of the Government of the United States;

(b) In attendance in any court of the United States or state court either as a juror or for the purpose of qualifying for jury service; or

(c) Summoned to appear as a witness in a proceeding on behalf of a state or local government.

An employee is entitled to such court leave or witness service only if formally summoned; court leave is not authorized for volunteer testimony or on behalf of a private party.

Applications for court leave must be submitted, as far in advance as circumstances permit, via SLDCADA, accompanied by a copy of the jury-duty summons. NWC faculty members who obtain court leave must observe special rules regarding possible remuneration. Upon completion of the absence period, the individual must provide to the Comptroller a "Jury Duty Certificate," signed by the clerk of the court, showing the days of service as a juror, the daily fee paid, and the total amount paid by the state.

c. <u>Auto Registration and Parking.</u> All vehicles operated on Naval Station Newport are subject to Naval Station vehicle regulations. Vehicles belonging to NWC personnel are also required to have NWC parking placards to park in NWC lots. As a convenience, the NWC issues NWC parking placards to permanently assigned personnel upon presentation of vehicle registration, insurance, and driver's license. These authorizations can be obtained from the NWC Security Office.

Some NWC parking will be reserved and identified with by-name signs. Such parking is based on the seniority of the position or the official duties which require them to come and go during the duty day. The Director of Mission Support will manage all reserved parking.

Parking for NWC staff and faculty is provided in semi-enclosed garages beneath Spruance-Conolly Halls and Hewitt Hall. There are two levels of parking—upper level (P-2) and lower level (P-1). Staff car-pool spaces (when assigned) and additional medical spaces upon request are located in P-1. Any non-reserved parking spaces in P-1 or P-2 are open to all NWC faculty and staff on a first come first served basis. Access to all garages is gained from the rear (seaside) road.

d. Standards of Attire. The NWC is a unique, national institution with a proud heritage. The support of all hands in upholding the highest standards of decorum is necessary to the reputation and self-respect of the College. For naval personnel, the Commander, Navy Region Northeast, establishes the authorized uniforms for use in the Narragansett Bay area. When uniforms are specified, this policy prescribes the authorized uniforms for use by military personnel assigned or attached to NWC as staff, faculty, enlisted, or students. This policy also specifies the civilian male and female equivalents that shall be worn by all NWC faculty and student personnel, and serves to inform civilian government service employees of suggested attire for various occasions.

(1) Standards. The NWC has a function, character, and student body that make it distinctive among graduate institutions. In addition, it is frequently the host to senior Flag/General Officers and high-ranking civilian and foreign dignitaries. Therefore it is appropriate that the attire worn by faculty, staff, students, and visitors reflect favorably on the College. Since no policy can be written to cover every circumstance of attire, it is incumbent on every member of the NWC personnel to ensure that choice of attire, and that of the individuals they supervise, is at all times professional and is in keeping with the spirit and intent of this policy. Designated attire established herein *represents a minimum expectation*. Nothing in this policy precludes dressing to a higher standard.

(2) Categories of Attire. The attached matrices delineate occasions for wear (figure 1) of attire as well as summer and winter uniform and civilian attire policy (figures 2 and 3) across six descriptive categories: *formal, informal, professional, business casual, casual*, and *athletic*.

(a) *Formal*. During official evening social functions when civilians would normally wear a tuxedo or ball gown and that are termed "black/white tie," military will normally wear the Service-appropriate mess/dinner/evening dress uniform. Here at the College, such occasions include the annual Service balls that are scheduled for the winter and spring season. During daytime ceremonial functions such as graduation, members of the official party may be designated to wear the full-dress Service uniform.

(b) *Informal.* "Informal" is often appropriate for day or evening, business or social functions where supplementary casual forms of dress would not be

acceptable. Civilian informal attire includes a tie and business suit for men and a dress or business suit for women. It is distinguished from more casual forms of dress in that the attire is dressier and the jacket and slacks/skirt are generally made of the same fabric. The military equivalent is the Service dress uniform appropriate to the season. "Informal" is the standard of dress for government executives, e.g., coat and tie for men and a dress or business suit for women. At the College, informal attire is appropriate for auditorium presenters and specified evening receptions or dinners. It includes faculty ceremonial regalia and is the attire worn by those attending graduation (less the official party). Shoes for both men and women are of dress quality with closed toe and heel. Sling-back shoes are an acceptable alternative for women. Denim or denim-look materials, shorts/skorts, micromini skirts, and boat-side shoes and sandals are examples of what is not considered appropriate.

(c) *Professional*. "Professional" is the standard of dress for faculty in the classroom and for all faculty, students, and staff when attending evening lectures in Spruance, high-level conferences, social functions in the flag quarters, or where significant interaction with the public is intended. Professional attire consists of a blazer or sweater and tie, dress-quality collared shirt, and dress slacks for men and either a dress or blazer, dress blouse, and slacks or skirt for women. "Professional" is distinguished from "informal" forms of dress in that the attire is more relaxed and the jacket and slacks/skirt may be of differing fabrics, colors, or patterns (e.g blazer and slacks). The military equivalent to "professional" is the Service dress uniform; however, a regulation uniform sweater or jacket (black, green, or blue lightweight outerwear jackets) may be worn as an alternative for comfort in place of the Service blouse/jacket. As in the case of informal attire, shoes for both men and women are of dress quality with closed toe and heel. Sling-back shoes are an acceptable alternative for women. Denim or denim-look materials, shorts/skorts, micromini skirts, dockside shoes and sandals, and clothing that distracts or may cause embarrassment to coworkers or is a safety hazard are examples of what is not considered appropriate.

(d) *Business Casual*. "Business casual" is the standard attire for students in seminar and is appropriate for all faculty and students conducting daytime business or studies within the NWC complex. "Business casual" is the same as "professional" attire without the requirement for a coat or tie. Specifically, it includes a dress-quality collared shirt or turtleneck and dress slacks for men and either a dress or dress blouse and slacks/skirt for women. Shirts, slacks, and shoes are of similar style and quality to those worn with the informal or professional attire described above. Turtlenecks are acceptable in business casual but do not include collarless shirts or flight-deck jerseys and do not contain logos on the collar or extreme logos elsewhere on the garment. Additionally, denim or denim-look materials, shorts/skorts, micromini skirts, dockside shoes and sandals, and clothing that distracts or may cause embarrassment to coworkers or is a safety hazard are examples of what is not considered appropriate. The uniform equivalent to "business casual" consists of Service Khaki for the Navy and the open-collared equivalent uniform for other Services (see the attached Winter/Summer Attire chart).

(e) *Casual*. Casual attire is the uniform prescribed for summer and may be prescribed during designated holiday periods throughout the year. Regular academic days when no classes are scheduled—such as Friday student/class preparation days—are not considered holidays; therefore, appropriate uniform or civilian attire will be worn. "Casual" differs from the foregoing in that the collared shirt may be of a polo or similarly relaxed style. Though denim and denim-look materials are still not acceptable, slacks, pants/skirts, and dresses may be constructed of more relaxed or rugged materials. Likewise, shoes of a more casual style are acceptable. Though sandals are acceptable in casual attire, flip-flops or other thong-type sandals and tennis-style shoes are not. Additionally, shorts/skorts, micromini skirts, and clothing that may distract or cause embarrassment to coworkers or is a safety hazard are examples of what is not considered appropriate. "Casual" is also the standard attire for faculty, staff, and students conducting after-hours or weekend business/studies within the NWC complex. During these times, denim, shorts/skorts, and tennis-style shoes are acceptable.

(f) *Athletic*. During NWC-sponsored events such as intramurals, President's Cup, or command picnics, athletic gear will be prescribed. Athletic attire is acceptable within the NWC complex only when specifically authorized or while transiting directly to or from sporting events. Personnel shall not loiter within the NWC complex in athletic attire. When worn, athletic gear shall be neat, serviceable (i.e., no holes or cutoff sleeves or legs), and not contrary to good order and discipline. Clothing will fully cover the upper torso (including midriff), and shorts will be of a conservative length that covers the upper part of the thigh. Logos or other clothing ornamentation should reflect well on the Service, its personnel, and its values.

Event/Function	Formal	Informal	Professional	Business Casual	Casual	Athletic
Official Naval War College Representation and Social Functions						
Service Balls	Attendees & Guests					
Flag Quarters Functions	As Specified	As Specified	Attendees & Guests			
High-Level Conferences		Attendees & Guests				
Evening Receptions & Dinners	As Specified	As Specified	Attendees & Guests			
Official NWC Representation (External Visits/Community Events/Internal Host or Escort)	As Specified	Attendees & Guests				
Daytime Receptions & Luncheons		As Specified	Attendees & Guests			
NWC Staff Personnel (Duty)			Military & Civilian	Military & Civilian	As Authorized by Supervisor	
Naval War College Ceremonies						
Graduation	Official Party	Attendees & Guests				
Convocation		Official Party	Attendees & Guests			
Orientation			NWC Presenters	Attendees & Guests		
Academic Functions						
Auditorium Presentations (Evening or Open to Public)		NWC Presenters	Attendees & Guests			
Auditorium Presentations (Daytime or Closed to Public)		NWC Presenters		Attendees & Guests		
Seminar Classrooms			Faculty	Students & Guests		
Off-Site Classes/Workshops				Faculty, Students, & Guests		
Study/Preparation (Workday: 0730–1630)				Faculty, Students, & Guests		
Study/Preparation (After Hours: 1630–0730)					Faculty, Students, Staff, & Guests	
Summer/Weekend/Holiday Routine					All Students, Staff, Faculty, & Guests	
Picnics and Athletic Events						All Students, Staff, Faculty, & Guests

Figure 1. Occasions for Wear

Description	Uniform			Civilian Male Equivalent	Civilian Female Equivalent
	Service	Officer	Enlisted		
Formal	USN	Dinner Dress White Jacket Dinner Dress White Full Dress White	Dinner Dress White Jacket Dinner Dress White Full Dress White	Tuxedo or Appropriate Suit Socks Dress Shoes	Formal Dress or Appropriate Suit Hosiery Dress Shoes
	USMC	Evening Dress			
	USA	Army Blue w/ Bow Tie Mess Dress (Blue or White)			
	USAF	Blue Mess Dress	Blue Mess Dress		
	USCG	Dinner Dress White Jacket			
Informal	USN	Service Dress White Service Dress Blue Summer White	Service Dress White Service Dress Blue Summer White	Business Suit and Tie Socks Dress Shoes	Dress, or Business Suit w/ Dress Blouse Hosiery Dress Shoes
	USMC	Blue-White Dress "A"			
	USA	Class "A" or "B"			
	USAF	Service Dress Uniform	Service Dress Uniform		
	USCG	Service Dress White Tropical Blue Long			
Professional	USN	Summer White[1]	Summer White[1]	Coat/Sweater and Tie Dress Shirt Dress Slacks Socks Dress Shoes	Dress, or Coat/Sweater w/ Dress Blouse, Dress Pants or Skirt Hosiery Dress Shoes
	USMC	Service "C"[1] Blue Dress "D"[1]			
	USA	Class "B"[1]			
	USAF	S/Sleeve Light Blue Shirt w/ or w/out Tie[1]	S/Sleeve Light Blue Shirt w/ or w/out Tie[1]		
	USCG	Tropical Blue Long[1]			
Business Casual	USN	Service Khaki	E-7–9: Service Khaki[1] E-1–6: Utilities/Coveralls[1]	Dress Shirt or Turtleneck Dress Slacks Socks Dress Shoes	Dress, or Dress Blouse or Turtleneck, Dress Pants or Skirt Hosiery Dress Shoes
	USMC	Service "C"[1]			
	USA	Class "B"[1]			
	USAF	S/Sleeve Light Blue Shirt w/out Tie[1]	S/Sleeve Light Blue Shirt w/out Tie[1]		
	USCG	Tropical Blue Long[1]			
Casual	ALL	No uniform equivalent		Collared Shirt Slacks Socks Casual Shoes	Dress, or Collared Shirt w/ Slacks or Skirt Hosiery Casual Shoes
Athletic	ALL	No uniform equivalent		T-Shirt, Shorts, Athletic Shoes Warm-Up or Sweat Gear (As Desired)	

Figure 2. Summer Attire Matrix

[1] Within the NWC complex, as an alternative to the service blouse/coat, an outerwear jacket (e.g., black or blue lightweight jacket) or service sweater is authorized for comfort subject to Service regulations.

Description	Uniform			Civilian Male Equivalent	Civilian Female Equivalent
	Service	Officer	Enlisted		
Formal	USN	Dinner Dress Blue Jacket Dinner Dress Blue (Opt: LT) Full Dress Blue	Dinner Dress Blue Jacket Dinner Dress Blue Full Dress Blue	Tuxedo or Appropriate Suit Socks Dress Shoes	Formal Dress or Appropriate Suit Hosiery Dress Shoes
	USMC	Evening Dress			
	USA	Army Blue w/ Bow Tie Mess Dress (Blue or White)			
	USAF	Blue Mess Dress	Blue Mess Dress		
	USCG	Dinner Dress Blue Jacket			
Informal	USN	Service Dress Blue	Service Dress Blue	Business Suit and Tie Socks Dress Shoes	Dress, or Business Suit w/ Dress Blouse Hosiery Dress Shoes
	USMC	Service "A" Blue Dress "A"			
	USA	Class "A"			
	USAF	Service Dress Uniform	Service Dress Uniform		
	USCG	Service Dress Blue			
Professional	USN	Service Dress Blue[2]	Winter Blue[2]	Coat/Sweater and Tie Dress Shirt Dress Slacks Socks Dress Shoes	Dress, or Coat/Sweater w/ Dress Blouse, Dress Pants or Skirt Hosiery Dress Shoes
	USMC	Service "A"[2] Blue Dress "C"[2]			
	USA	Class "B"[2]			
	USAF	Service Dress Uniform[2]	Service Dress Uniform[2]		
	USCG	Service Dress Blue (B)[2]			
Business Casual	USN	Service Khaki[2]	E-7–9: Service Khaki[2] E-1–6: Utilities/Coveralls[2]	Dress Shirt or Turtleneck Dress Slacks Socks Dress Shoes	Dress, or Dress Blouse or Turtleneck, Dress Pants or Skirt Hosiery Dress Shoes
	USMC	Service "C"[2]			
	USA	Class "B"[2]			
	USAF	S/Sleeve Light Blue Shirt[2]	S/Sleeve Light Blue Shirt w/out Tie[2]		
	USCG	Tropical Blue Long[2]			
Casual	ALL	No uniform equivalent		Collared Shirt Slacks Socks Casual Shoes	Dress, or Collared Shirt w/ Slacks or Skirt Hosiery Casual Shoes
Athletic	ALL	No uniform equivalent		T-Shirt, Shorts, Athletic Shoes Warm-Up or Sweat Gear (As Desired)	

Figure 3. Winter Attire Matrix

[2] Within the NWC complex, as an alternative to the Service blouse/coat, an outerwear jacket (e.g., black or blue lightweight jacket) or Service sweater is authorized for comfort subject to Service regulations.

(3) Policy. The prescribed attire has military and civilian dimensions for staff, faculty, and students, as follows:

(a) *Military Personnel*

1. Staff. For the purposes of this instruction only, the following adjunct faculty positions and offices shall be considered staff: Public Affairs, SJA, Equal Opportunity, Command Master Chief, Career Counselor, Reserve Affairs, and Independent Duty Corpsman. As a matter of policy, all military personnel shall be in the prescribed uniform of the day or an approved alternate. However, in those situations where civilian attire is deemed necessary to the effective execution of the College's mission, Department Heads or Chairs may authorize an exception to this policy on a case-by-case basis. If an exception is authorized, the staff member shall wear professional attire in lieu of military attire. Working uniforms (such as utilities or coveralls) may be authorized by supervisors only on those occasions when the nature of the work performed would unduly soil other uniforms, and then only for such time as the personnel are actually involved in the performance of those tasks. Personnel in a "duty" status shall be in the prescribed uniform of the day at all times.

2. Faculty and Students. For the purposes of this instruction only, the following shall be considered faculty: all departments and their personnel directly reporting to the Provost and the Dean of the Center for Naval Warfare Studies. To promote free expression and critical academic discourse in seminar, wearing of appropriate civilian attire is an expectation of the College for military faculty and students. When uniforms are not prescribed, military faculty, as in the case of their civilian colleagues, will wear professional attire while in the classroom. When staff members are acting in the role of an adjunct faculty member, the staff members may wear professional attire on the day or days when they are acting as adjunct faculty members supporting an officially scheduled class or seminar. Students will wear business casual attire for seminar, to include all offsite seminar gathers. Outside of the classroom, military faculty and students may wear business casual attire for workday study and class preparation. After hours and on weekends, casual attire is acceptable.

3. Uniform Days. Faculty, staff, and students will wear the prescribed uniform, rather than the civilian clothing alternative, on the following occasions:

a. During visits of four-star Flag/General Officers or

equivalent civilian executives, or when personally receiving or escorting distinguished visitors on behalf of NWC.

b. During the NWC check-in process; students may check out in appropriate civilian attire, as described below.

c. For special ceremonies and events, or as specified in the weekly schedule.

When visits do not involve the entire NWC complex (e.g., a lecture to only one class or a visit to only the War Gaming Department), those personnel affected by the visit shall be in the prescribed uniform of the day. Others who are not attending the event will wear the civilian alternative. The appropriate Dean(s) and special assistants will ensure "uniform days" are designated when required and clearly promulgated in weekly schedules.

Service Advisors, as the senior Service representatives on board NWC, will coordinate alternatives to the prescribed uniform through the Dean of Students office.

(b) *Civilian Personnel*

1. Staff. Civilian attire that appropriately reflects the professional atmosphere of the College should be worn. Clothing that distracts or may cause embarrassment to coworkers, or is a safety hazard is not appropriate.

2. Faculty and Students. Civilian faculty will wear professional attire while performing their in-classroom duties. Students will wear business casual attire for seminar. Outside of the classroom, civilian faculty and students may wear business casual attire for workday study and class preparation, to include all offsite seminar gatherings. After hours and on weekends, casual attire is acceptable. All faculty being interviewed by visual media should ensure that a professional appearance is maintained.

(4) Name Tags and Security Badges

(a) *Personnel.* All personnel are required to wear the NWC-issued security badge on their uniforms and civilian attire at all times when onboard the NWC complex. Security badges must be worn on the outside of all clothing and outerwear, above the waist, where they will be conspicuously visible to security personnel. Name tags shall be worn when directed for special events as a courtesy to others in the College and to delineate a person as a member of the NWC staff or faculty, or as a member of a particular academic college.

(b) *Flag Quarters Functions*. NWC-issued name tags (rather than security badges) are desired for all assigned personnel while attending flag quarters social functions. Name tags will be worn attached to the jacket or shirt, at a position above the wearer's right-hand pocket or an equivalent position.

(5) Changeover Dates for Seasonal Attire

(a) *Civilian Clothing*. "Casual" is the prescribed civilian attire for summer, running between the Monday following June graduation through Labor Day weekend. Except for weekends, holidays, or after hours, "casual" will be the prescribed attire during this period. Clothing considered a safety hazard or distracting to other employees is not appropriate.

(b) *Uniforms*. Navy Region Mid-Atlantic establishes the uniform changeover date. Generally, the summer uniform period extends from the first Monday in May through the first Monday in October. At all other times from October through May, winter uniforms will be worn.

e. Health and Physical Fitness Program. All members of the NWC staff and faculty are strongly encouraged to attain and maintain themselves in a condition of physical fitness that enables performance of duties whenever and wherever required, and to present a sharp, trim appearance. Military personnel are required to continue regular participation in the Physical Readiness Testing Program (or other Service equivalent). Time may be provided during normal working hours, contingent on operational requirements, to permit personnel to meet minimum standards.

f. Beverages, Food, and the Use of Tobacco Products in Facilities. Food and beverages are not allowed in Spruance or Pringle Auditoriums. Smoking is not permitted within any NWC indoor spaces. Certain outdoor areas are designated as smoking areas. Smokeless tobacco products are *not* permitted for use in common areas, such as auditoriums, conference rooms, classrooms, break rooms, library, cafés, or hallways. Additional information on the use of tobacco products at NWC is found in NAVWARCOLINST 5100.2 (series).

g. Emergency College Closing and Class Cancellation

(1) Nonessential Personnel. On rare occasions, potentially destructive weather or other emergency conditions may require a delay or cancellation of classes and/or other operations at the NWC. Only the PNWC, Provost, Deputy to the Provost, or the Vice President/Chief of Staff, after consultation, will announce deviations from scheduled routine. During normal working hours, maximum advance notice will be given in order to allow for storm preparation and, if necessary, an orderly and safe departure of all nonessential personnel, both civilian and military. If a "Snow Condition" is declared, vehicles are not to enter the base until it is cleared, so that snow removal can take place without the hindrance of traffic or stalled vehicles.

Information on inclement weather delays or closures or other emergencies is shared through the following communications tools:

(a) *Notification System.* The NWC subscribes to a notification service to send a voice or text message to phones and/or e-mail accounts. This is a voluntary service and students, staff, and faculty can sign up or disenroll by e-mailing the IRD Help Desk or through a registration feature on the intranet. The incoming call for this service registers as 401-841-2000.

(b) *Emergency and Inclement Weather Message Line*. The command duty officer provides emergency or weather-related condition changes at the College with a voice mail message on NWC's Emergency and Inclement Weather Message Line at 401-841-2000.

(c) *Radio and Television*. The Public Affairs Office submits brief announcements through the Rhode Island Broadcasters Association (RIBA) Business and School Cancellation System. Participating stations announce or publish the most up-to-date listing of weather-related impacts throughout the state on their websites and through periodic live broadcasts. Participating Rhode Island TV stations and many radio stations on both AM and FM are listed at http://www.ribroadcasters.com. RIBA also publishes active announcements online at http://www.ribroadcasters.com/News_and_Events/Closings_Delays.

(d) *Web*. Public Affairs also posts information on www.facebook.com/NavalWarCollege.

No calls should be made to the Newport Naval Station or NWC duty officers.

(2) Key Personnel. Civilian and military personnel primarily concerned with disaster conditions and emergency procedures, and military personnel standing security or other essential watches, may be designated "essential personnel." A listing of NWC essential personnel is published each year in September as NWC Notice 3400. Essential personnel will remain at work or report as directed for assigned duties during emergency conditions.

(3) Leave Status during Periods of Extreme Weather. Administrative leave (excusal) may be granted when normal work conditions are interrupted by extreme weather conditions. Employees on board, with the exception of designated key personnel, will be excused without charge to leave or loss of pay. Only those employees who have reported, or were scheduled to report, for duty will be eligible for administrative leave (excusal). Employees scheduled to be absent for the day on annual or sick leave, or leave without pay (LWOP), will remain charged with such leave.

When extreme weather conditions cause widespread tardiness in reporting for duty, employees may be excused without charge to leave or loss of pay. The amount of excused time will be determined by the Vice President/Chief of Staff.

h. <u>Travel</u>

(1) Official Naval War College Travel. Travel funding has received, and will continue to receive, close scrutiny by Congress during budget negotiations. Department Chairs, Directors, and Deans must ensure that all travel is essential for the efficient accomplishment of the NWC mission. While it is understood that travel by faculty, staff, and students is fundamental to the success of many educational, research, and other professional endeavors, Department Chairs, Directors, and Deans should scrutinize the need for trips and the number of travelers and develop initiatives to reduce travel, thereby saving money that can be used for other important programs. In addition to budgetary considerations, there are standards of conduct issues to bear

in mind. NWC travelers must not accept reimbursement for expenses incurred in connection with official travel without advance authorization by the SJA and the PNWC or Provost.

Within these constraints, the NWC permits professional travel that has clear potential value to the College in terms of its educational mission and the professional development of its faculty. Examples (many of which have already been discussed in the Professional Development section in this chapter) include travel undertaken for the following purposes:

(a) Improvement of curricula and courses.

(b) Research.

(c) Visits to naval or joint installations for familiarization with and/or discussion of Service or joint matters.

(d) Advancement of the professional proficiency and reputation of the faculty through presentations of scholarly papers at professional conferences, participation in the affairs of a professional organization, and other such activities.

(e) Lectures at Fleet Seminar sites.

(f) Fleet Seminar site visits or assessments.

(g) Lectures or other support for the Naval War College–at–Naval Postgraduate School Program.

(h) Educational or real-world direct support to Fleet, Service, Task Force, or Joint Staffs.

(2) Responsibilities

(a) Department Chairs, Directors, and Deans are responsible for approving travel after determining that the requested travel is in the interest of the U.S. Government and meets the criteria for official travel. Deputy Deans are authorized to approve travel in the absence of Deans when time and circumstances require a timely decision.

(b) The Comptroller will authorize the expenditure of appropriated funds and ensure the travel is consistent with the Joint Travel Regulations.

(c) All personnel requesting travel orders will follow the specified departmental procedures, and comply with DoD, DoN, and NWC policies and procedures.

(d) Command Evaluation will monitor compliance with specified procedures, reporting any violations to the PNWC, via the chain of command.

(3) Procedures

(a) *Temporary Additional Duty (TAD) Travel*

1. Routing of Orders. Orders will be originated by the requestor and forwarded with a temporary additional duty (TEMADD) request via the approving authority to the NWC Comptroller for estimation of cost, obligation of funds, assignment of an official trip (tango) number, and authorization of funds expenditure. In some cases, personnel from one department will perform travel on behalf of another NWC organizational element that has responsibility for budgeting the travel. In those cases, the orders must reflect the approval of both the individual's organization and the authority whose funds will be expended for the travel. In all cases, the approving authority for any faculty travel shall be at the level of the Provost or the appropriate Dean or Chair.

2. Itinerary. Orders will be written to indicate each organization to be visited.

3. Reason for Travel. The purpose of the visit should include the phrase "mission-essential" and a brief description of the purpose (e.g., "A mission-essential trip to attend meeting at Department of Energy to plan for Global War Game").

4. Mode of Travel. Consistent with the mission, travel will be performed by the most economical means available, which may include private auto, government air, commercial air, etc. When feasible, government air transportation will be used. Personnel involved in travel planning are encouraged to work with the Passenger Transportation Office (PTO) to obtain the lowest fare at the earliest possible time.

5. Endorsements. When traveling to a military facility where government quarters exist, the traveler (military or civilian) is required to use government quarters or obtain a non-availability endorsement to receive reimbursement for lodging. Use of government quarters is required when available within reasonable commuting distance (i.e., a thirty-minute drive during rush hour). This requirement does not apply when the traveler is ordered to the Washington, DC, area. If government quarters are not available, the supplementary order block (Block 20) of the TEMADD TRAVEL ORDER (NAVPERS 1320) will show #9 to reflect the requirement to obtain a certification of non-availability. Where no government quarters exist at the destination, an appropriate comment to that effect must be entered in Block 21. When travelers visit the NWC, their TAD orders must be endorsed by the Administrative Services Division. A non-availability-of-government-quarters endorsement will be made on the orders only when the TAD orders are accompanied by written

confirmation from the appropriate government lodging office. If endorsements are required outside normal working hours, a Department Chair, Director, or Dean may endorse the TAD orders and indicate government quarters were not available, provided there is written certification from the appropriate government lodging office.

6. Rental Cars. Rental cars should be used only when authorized.

7. Processing of Travel Claims. Travel claims for all TAD travel will be completed in DTS within 5 working days.

8. Canceled Orders. Canceled orders and unused Transportation Requests will be delivered without delay to the NWC Comptroller for de-obligation of funds. This de-obligation of funds will restore travel dollars to the approving authority.

(4) Invitational Travel Orders. Department Chairs, Directors, and Deans should apply the same sound business practices in arranging travel for guests as is done for NWC personnel. NAVCOMPINST 4600.1 (series) addresses the procedures to be used for payment of honoraria in conjunction with invitational travel. When approving invitational orders, Department Chairs, Directors, and Deans must:

(a) Ensure the travel is necessary for effective mission accomplishment.

(b) Route invitational travel requests to the Comptroller, who will ensure funds are obligated.

(c) Provide an information copy of invitational travel orders, if applicable, to the Office of Protocol and Events.

(d) Remind guests of their responsibility to file travel claims, provide them with proper forms, and, if necessary, give instructions on how to file a travel claim.

(e) Identify each organization to be visited.

(f) Provide the reason for travel.

(g) Authorize the most economical means of travel.

(h) Make every effort to accommodate visitors in government lodging facilities. Facilities in Newport are limited, and advance reservations are essential, particularly from May through September.

(i) Assist in processing travel claims. If the traveler has been issued invitational travel orders, Department Chairs and Directors will be responsible for working with the individual to ensure timely completion and submission of travel claims. A copy of the liquidated travel claim should be forwarded by the individual to the Comptroller. Periodically, the Comptroller will issue a list of delinquent claims for follow-up by the department initiating the invitational travel request.

(5) Attendance at and Participation in Meetings. 37 U.S.C. 412 states that appropriations of the DoD available for travel may not, without the approval of the Secretary concerned or his/her designee, be used for expenses incident to attendance at meetings of a technical, scientific, professional, or similar organization. The criteria for approval of funded travel for military personnel are outlined in SECNAVINST 4651.8 (series) and OPNAVINST 4651.4 (series), which delegated approval authority to the PNWC. Guidance for civilian personnel is provided in DoD 1400.25-M. *Required documentation:* Military and civilian personnel wishing to attend meetings must complete Part I of OPNAV Form 5050/11. Faculty Department Chairs and Directors will review all requests and make recommendations in Block 13b, and forward the request to the Dean/Associate Provost for final approval. The Dean/Associate Provost/Provost or the PNWC will sign Block 20 as the authorizing official and forward the completed form back to the originator for submission with the travel orders to the Comptroller. An OPNAV Form 5050/11 is not required if the traveler is on "no cost" orders. An OPNAV Form 5050/11 is still required if travel is no cost to the government but cash or in-kind reimbursement from a nongovernment source is anticipated. Note that civilians are not authorized travel on no-cost orders, see (8) (a) 2 below.

(6) Promotional Benefits, Incentives, Reimbursements, or Gifts Received in Connection with Official Travel

(a) As a general rule, military and civilian DoD personnel may not accept cash, accommodations, meals, airline tickets, or in-kind reimbursement for participation in lectures, meetings, conferences, or symposia. However, under the provisions of SECNAVINST 400.2 (series), the PNWC may accept a gift, cash or in-kind, of up to $200,000 from a nongovernment source for travel expenses when accepted in advance of the official travel. Under the provisions of OPNAVINST 4001.1g the Provost may accept, as a gift, cash or in-kind, of up to $25,000. Part II of OPNAV Form 5050/11 must be completed by civilian and military personnel in advance of travel if such reimbursement is anticipated. CPI 410.8 governs the procedures for acceptance of contributions and awards by civilian employees. All temporary duty requests will include an approved OPNAV Form 5050/11 or a signed statement as follows:

> *I understand that without specific prior approval of the President or Provost, I may not accept any reimbursement in cash or in kind in connection with the travel under these orders and I hereby certify that I have not received such approval and, therefore, will not accept such reimbursement.*

All requests to accept a gift of travel must be routed via the member's chain of command, to the NWC SJA for review, and for approval by the PNWC or the Provost. If approved, once the trip is completed, the faculty member shall report the actual value of the gift received to the SJA for inclusion in a required semiannual report regarding gifts of travel, with copies of the gift of travel to the Comptroller's office.

(b) The rules governing the standards of conduct for all U.S. Government employees impose some restrictions on the receipt of promotional items and payments received by government travelers from airlines, car rental agencies, and other public carriers. The term "government traveler" includes military uniformed members and civilian employees traveling under orders. The following categories of items/payments will be managed as indicated:

1. Airline Mileage or Trip Accumulation Programs. Faculty members may enroll in "frequent-flyer" or other mileage accumulation programs that result in free or discounted travel and keep the benefits of the programs earned while on official travel, to include frequent-flyer mileage, upgrades, and access to carrier clubs or facilities. Frequent-flyer credits may be used to upgrade to premium class, including first class, for official or personal travel. Faculty members may also accept on-the-spot upgrades or upgrades resulting from promotional offers available to the general public. All U.S. military personnel and military faculty members are reminded that they should not fly premium class, particularly first-class, in uniform, because of the appearance of improperly using appropriated funds to fund the premium-class travel.

2. Tangible Gifts, Prizes, and Related Incentives. Public carriers for hire, including car rental companies, may offer items ranging from tool sets to travel packages. Promotional items received incident to official travel may be retained for personal use provided that the promotional items are obtained under the same terms as those offered to the general public, all federal employees, or all U.S. military personnel and at no additional cost to the U.S. Government.

3. Penalty Payments. Any payments received from carriers for failure to provide confirmed reserved spaces or from hotels for failure to provide reserved accommodations are considered compensation for delay or inconvenience that detracts from mission performance and accomplishment. Penalty payments belong to the U.S. Government and, if paid by check, shall be made payable to the United States Treasury. If made in the form of certificates, the certificates shall be turned in to the College's Financial Manager/Comptroller. This procedure will pertain even if the traveler paid the fare in cash. Proper settlement will be made by the local disbursing officer upon completion of the travel. At that time, the check provided by the carrier will be surrendered to the Financial Manager/Comptroller for processing as specified in NAVMILPERSCOMINST 4650.2 (series).

4. Payments for Voluntarily Vacating an Airline Seat. These payments, made because of airline overbooking, are distinguishable from penalty payments and may be retained by the traveler if he or she voluntarily vacates a seat. However, travelers should not give up their reserved seats if doing so would adversely affect the performance of official duties. The Navy will not pay additional travel expenses, which a traveler may incur in consequence, to meet an official schedule. Furthermore, if giving up the seat delays the travel during official duty hours, the traveler will be charged leave as appropriate. If the faculty member files a confidential financial disclosure form and this compensation exceeds two hundred dollars, the faculty member will have to report the amount of compensation as income on the confidential financial disclosure form.

(7) Permanent Change of Station (PCS) Travel. PCS travel procedures are described in NAVCOMPINST 4650.8 (series).

(8) No-Cost (Permissive) Travel Orders

(a) On certain occasions, travel may be desirable from the Navy's viewpoint, but may not be sufficiently necessary to warrant the expenditure of travel funds. Under these circumstances, NWC may issue "authorization" (permissive orders) permitting, as distinguished from directing, the military member to travel at no expense to the government. The travel orders must contain the following:

1. Military Personnel. Block 21 of the travel order will cite supplementary item #4, which states, "This permissive travel authorization is issued with the understanding that you will not be entitled to reimbursement for any travel, transportation, per diem, or miscellaneous expenses in connection with its execution. If you do not desire to bear these expenses personally, you may choose not to execute this permissive travel authorization and it will be considered cancelled." If the travel order does not include item #4, travelers may subsequently file a claim for reimbursement of expenses incurred.

2. Civilian Personnel. Civilian personnel are not authorized to travel on "no cost" orders.

(b) Travel must be deemed to be in the interest of the DoD/DON in order for the employee to receive regular salary while on permissive travel. On the Travel Request Form, the traveler must state why it is necessary to travel on government time and identify the benefits that would be gained by NWC as a result of the travel. If the travel is considered not in the best interest of the DoD/DON by the responsible Department Chair, Director, or Dean, the employee must be charged with annual leave or be placed on leave without pay. The NWC timekeeper will be

provided a copy of all no-cost travel orders to monitor time and attendance certifications, and to ensure proper charging of labor.

(9) Travel within the Local Area. Travel orders need not be cut when personnel are traveling on official business in the local area and verbal authorization of the Department Chair, Director, or Dean has been given. The local area is defined to be within a fifty-mile radius of Newport. Local travel with reimbursement requires preapproval from the Comptroller's Office to establish the financial obligation prior to travel. Claims for reimbursement of expenses incurred can be submitted on an SF II 64, available from the Comptroller.

(10) Foreign Travel. Foreign travel is considered to be any travel outside the United States and its territories. Special travel authorization may be required for individuals possessing a security clearance and, as a result, any anticipated foreign travel must be reported to the Anti-Terrorism Officer in the Security Department 30 days prior to travel. Requests for clearances shall be submitted in accordance with the DoD Foreign Clearance Guide. This document provides necessary information for personnel traveling to foreign countries as well as general information on foreign locations. Since the DoD Foreign Clearance Guide is directive in nature for all DoD and DoD-sponsored travel abroad, faculty members shall comply with its provisions. Requests for travel clearances shall be submitted by the faculty member to his or her respective Chair, Director, or Dean for review and forwarding to the Provost for approval and release. When faculty members travel overseas, they shall do so using a no-fee official passport. These can be arranged through the traveler's department. Note: TS/SCI clearance holders will be individually briefed on their applicable procedures by the Special Security Officer upon check-in.

(a) *Special Travel Briefings.* Special travel briefings and debriefings may be required in circumstances offering the potential for NWC personnel to interact with representatives from nations on a designated-country list. Contact the command Anti-Terrorism Officer for more information. Any individual who plans travel to or through a designated country, or plans to attend a meeting in the United States or elsewhere in which representatives of these countries may be expected to participate, must report these travel plans to the Anti-Terrorism Officer 30 days prior to traveling.

(b) *Report of Foreign Contacts.* All potential military-to-military contacts with representatives from a list of designated countries must be reported quarterly to the Joint Staff for approval. While the focus of the report is on planned contacts between U.S. military and designated-country representatives, it may also include reporting of anticipated contacts between U.S. Government civilian employees and designated-country military or civilian personnel, depending on the nature and purpose of discussions. NWC personnel are responsible for quarterly verification of the designated-country list and for reporting forthcoming contacts to the Security Manager.

i. <u>Security of Classified Material.</u> Security of information and its physical control are the direct and personal responsibility of every person in the DoD. The NWC Information Security Manual (NAVWARCOLINST 5510.3 series) describes

the responsibilities and procedures for the College Information Security Program and is available in each academic department office. It is required reading for all faculty members. For specific questions that may relate to the processing or storage of classified information in an automated system, the Information Systems Security Officer should be contacted.

All faculty members, having been designated to Noncritical-Sensitive positions, and as a condition of employment, shall maintain eligibility and suitability for assignment to Non-critical-Sensitive duties. Faculty are required to obtain a security clearance as a condition of employment and prior to doing the following:

(1) Teaching a course with classified components.

(2) Conducting classified research.

(3) Directing or supervising a classified project undertaken by a student.

(4) Engaging in mission-essential duties that require access to classified material.

The NWC hosts a number of international students in the Naval Command College and the Naval Staff College, and non–U.S. citizens may be on the faculty and staff as well. Normally, non–U.S. citizens are not eligible for security clearances. Access to classified information while at the NWC may be justified in furtherance of the DoN mission. Classified material, however, will not be disclosed to international officers, including faculty, unless authorized by OPNAVINST 5510.48 (series). International officers may be admitted to CONFIDENTIAL or SECRET lectures only when prior arrangements have been made by the Naval Command College or Naval Staff College Director to ensure that the requirements of OPNAV 5510.48 (series) are met and that the authority scheduling the lecture concurs.

Questions regarding security clearance procedures should be referred to the NWC Security Department.

The regulations governing access to and custody of classified information, papers, and materials are prescribed in OPNAVINST 5510.1 (series). Those provisions having the most common applications to the faculty, together with local instructions, are set forth in the NWC Information Security Manual. The NWC Security Manager is required to accomplish an annual inventory of all SECRET documents.

j. <u>Security Passes, Identification Badges, and Building Access.</u> NWC facilities are for official business only and are not open to the general public except by invitation. Therefore, all personnel attached to the NWC are issued a color-coded security pass that includes a photograph, surname, employee status, identification number, and expiration date. The color coding on the security pass reflects the level of clearance as follows:

Red Checkerboard	TOP SECRET/SCI
RED	TOP SECRET
Blue	SECRET
Green	International Students

White UNCLASSIFIED

The security passes are issued in a plastic holder with a metal clip for easy attachment to clothing and are to be worn during working hours by NWC personnel. These passes are also required for gaining entry into NWC buildings outside normal working hours, for obtaining access to and materials from the Classified Library, and for gaining access to classified lectures, conferences, and briefings.

k. Visits by Non–U.S. Citizens. The NWC is host to many non–U.S. citizens who are representatives of foreign governments and military services or who are private citizens. These non-U.S. visitors may be guest speakers, wargame participants, and professional associates or personal friends of College faculty, staff, and students. While the College desires to maintain an open atmosphere for academic and research purposes, hosts must ensure that disclosure guidelines are followed and authorization obtained from the responsible Navy offices prior to all official or unofficial visits by non–U.S. citizens. The Navy International Programs Office (IPO) approves the level of disclosure of both classified information and unclassified technical information for all foreign visitors to military installations.

l. Requisition of Services, Supplies, and Materials. A mission resource manager (MRM) has been designated for each functional area at the NWC. Faculty requests for expendable services, supplies, and/or materials, including official government mail, are coordinated with the appropriate MRM. For most matters, civilian faculty members are supported by the department to which they are assigned.

m. Commitment of Funds. Unauthorized commitments are orders for supplies and/or services placed with vendors in the name of the U.S. Government by unauthorized individuals. NWC faculty and staff are prohibited from taking any action that results, or could result, in a commitment of NWC funds unless formally authorized to do so. The NWC Comptroller and Contracting Officer have sole authority within the command to commit NWC funds. Authorized Government-wide Commercial Purchase Cardholders commit funds subject to their delegations from the Contracting Officer.

n. Telephone. The NWC provides telephone service that is essential to carrying out the College's functions. Use of telephones for personal calls is permitted only under limited circumstances and only if the call does not result in charges to the government. All personal long-distance toll calls must be charged to a personal credit card or a private residence or must be initiated on a collect basis. Use of a personal credit card without a charge requires an "800" vendor access number.

Official long-distance calls should be made through the Defense Switched Network (DSN) whenever possible. Indeed, only in a bona fide emergency or in cases of operational necessity should NWC personnel use commercial long-distance service to telephone areas that can be reached by leased lines or DSN. The DSN system is a voice-communication network used by the DoD that provides non-secure direct-dialing service worldwide through a system of government-owned and leased automatic-switching facilities. DSN is "live" when the handset of an NWC phone is picked up. Personnel simply dial the seven-digit number for CONUS numbers. For

information on commercial dialing, and dialing international DSN numbers, dialing guides may be obtained at the IRD Help Desk.

The Vice President/Chief of Staff and the responsible MRM coordinate the NWC telephone system, including all contacts with the telephone company. Departments may provide further guidance on long-distance telephone calls commensurate with their fiscal responsibilities and budget management. They should periodically remind their faculty members that following the above procedures can significantly reduce departmental costs for telephone calls and thereby save money for other academic purposes.

o. Faculty Checkout. Government and NWC policies for classified material and security control require a positive checkout procedure for all civilian and military faculty members departing the College. Civilian faculty members should give supervisors at least two weeks' advance notice prior to their departure dates in order to provide adequate time to comply with these requirements. Military personnel must obtain a copy of the checkout form from the Administrative Services Division, at least two days prior to departure. Civilian personnel obtain their checkout forms from the Human Resources Office. If the departing faculty member has had access to classified material, the supervisor must ensure that the faculty member returns all classified material. Those leaving government service must also obtain a security debrief and return the NWC security badge.

Upon completion of the NWC checkout form, civilian faculty members must also report to the Human Resources Office for additional checkout processing. Failure to accomplish these steps may delay processing of the employee's unpaid compensation and financial or personnel records and documents.

11. Retirement

Only general information is given below about federal-service retirement provisions and procedures. Starting several years in advance of the anticipated retirement date, a faculty member should think carefully about retirement decisions. He or she should then periodically review and update his or her choices. For assistance in the decision-making process, prospective retirees should contact the Human Resources Office or call The Benefits Line at 888-320-2917 to speak with a retirement specialist.

a. Retirement Age. Civilian employees of the NWC who qualify for federal-service retirement will have established retirement eligibility under either the CSRS or the FERS. Under both programs, eligibility to receive an annuity is primarily established by the total number of years of creditable federal service rather than by chronological age. Basic annuity formulas differ for each program, but an individual will generally qualify for an annuity at age fifty-five (or his or her minimum retirement age). Special provisions apply in instances of deferred retirement, disability, or employment interruption.

b. Sick Leave. Civilian employees who establish eligibility under provisions of the CSRS and FERS are permitted to convert unused days of sick leave to their annuity credit under a formal leave system.

c. Deferred Retirement. Civilian faculty members may be eligible for deferred retirement benefits, if they leave federal service after having completed at least five years of creditable service. Deferred benefits are payable upon reaching at least age sixty-two or, in some instances, at age fifty-five with at least ten years of federal civilian service. Under terms of both the CSRS and the FERS, there are numerous complexities that influence the potential individual advantage or disadvantage of deferred retirement. Thus, when considering deferred retirement, the prospective retiree should seek authoritative and up-to-date information from the sources noted above.

d. Disability Retirement. Benefits may be payable to federal employees who are no longer able to perform in their positions due to a variety of incapacitations. A strict "occupational" definition of disability is employed in making these determinations. The OPM emphasizes "that disability retirement is a last resort, appropriate only when there is a service deficiency caused by disease or injury, and when every reasonable effort to preserve the person's employment has failed."

e. Retiree Health Insurance Programs. Federal-service annuitants may be eligible to continue health insurance benefits coverage after retirement, if retirement has been immediate rather than deferred, and if the retiree has been continuously enrolled in the health insurance program since the first opportunity to enroll or at least for the five years immediately preceding the annuity starting date.

f. Retiree Life Insurance Programs. After retirement, and upon the retiree's sixty-fifth birthday, a member may retain at least one-quarter of the value of the basic life insurance without cost. Other options for retaining insurance amounts through the continued payment of premiums after retirement are also available. In order to continue life insurance options after retirement, the employee must have carried the same type of insurance for at least five years prior to retirement.

g. Government Pension Offset. Government employees under the CSRS who are entitled to Social Security spouses' or surviving spouses' benefits will have these benefits offset by two-thirds of their federal-service annuities for those who become eligible for spousal benefits after 1 July 1983. Those who qualified for spousal benefits prior to 1 July 1983 should contact the nearest Social Security Office regarding the amount of government pension offset, which may vary considerably. This offset does not apply to those who will retire under provisions of the FERS.

h. Refunds of Contributions at Separation. Employees who leave federal service prior to becoming eligible for immediate benefits under either CSRS or FERS retain rights to their contributions to those programs. Several conditions govern the individual's options for the refund or withdrawal of contributions. These options should be carefully evaluated on a personal basis because, especially for an older employee, vested benefit rights are often far more valuable than the value of contributions. Should an individual elect to withdraw his or her contribution upon

separation and then return to federal service at a later period, the lost service can be recaptured by repaying the withdrawn amounts plus interest, for former CSRS participants. FERS participants who withdraw their contributions at separation are *not* eligible to recapture the lost service in the event that they return to federal employment.

CHAPTER III

ACADEMIC POLICIES AND PROCEDURES

1. Admission Policy

a. Resident Students

(1) U.S. Military JPME Students. Military students of the College of Naval Warfare (CNW) are Lieutenant Colonels, Colonels, Commanders, and Captains (O-5/O-6), from all Services, with approximately sixteen to twenty-two years of commissioned service, while resident students of the College of Naval Command and Staff (CNC&S) are Majors or Lieutenant Commanders (O-4), with approximately twelve years of commissioned service. The NWC does not directly select its military students. The selection is made by each Service with the criteria within each Service being very similar. In the case of the Navy, candidates for attendance are chosen from officers selected for promotion to Lieutenant Commander, Commander, and Captain (O-4, O-5, O-6). This selection is based on professional performance and a clear potential for higher responsibilities. Recent policy allows a selected number of Lieutenants (O-3) to attend the CNC&S. Navy Personnel Command (NPC) screens these members closely as a BUPERS rank waiver is required. The NWC in conjunction with NPC approves these Lieutenants on an individual basis. Successful graduates of CNW earn JPME phase II credit and a Master's Degree in National Security and Strategic Studies. Successful graduates of CNC&S earn JPME phase I credit and a Master's Degree in Defense and Strategic Studies. A bachelor's degree is required in order to be eligible for admission to either master's degree program.

(2) Civilian JPME Students. In addition, every academic year, selected departments and agencies are invited to nominate civilian applicants in the grades of GS-14 and GS-15 or equivalent for admission to the CNW and civilian applicants in the grade of GS-13 or equivalent for admission to the CNC&S. Admission for civilian students nominated to the resident program requires a formal application to the NWC. The Registrar and the academic departments screen and recommend applicants based on their academic accomplishments, professional achievements, and their potential to complete the program. The Associate Provost is the approval authority for civilian student admission. A minimum of a bachelor's degree and letters of recommendation from the applicant's department or agency is required. Additional requirements for admission may be found on the U.S. Resident Student page of the NWC website (usnwc.edu).

(3) International Students. The Naval Command College (NCC) and the Naval Staff College (NSC) are invitational international programs that align with and parallel the CNW and CNC&S respectively. Approximately 20% of the in-residence officer enrollment at the NWC each year is international. Each year, the CNO extends invitations to his counterparts in the friendly navies of the world to send officers. NCC is attended by individually-selected Captains and Commanders from friendly Navies and Coast Guards who have been identified as likely candidates for the highest positions of leadership. Colonels and Lieutenant Colonels (O-6/O-5) of non-maritime

Services are also eligible to attend but countries are limited to having only one officer at a time enrolled in NCC. NSC is attended by invited and selected international Lieutenant Commanders and some Lieutenants (O-4/O-3) but countries will sometimes have more than one officer enrolled in NSC at a time. Majors (O-4) of non-maritime Services are also eligible to attend NSC. NCC and NSC officers study alongside their CNW and CNC&S counterparts throughout the academic year and are distributed evenly among seminars in order to provide a diverse international perspective for all students. A few U.S. military officers will be selected each year to be embedded members of the NCC and NSC. This selection is made by NCC and NSC Directors in coordination with Dean of Students and Senior Service Representatives. An opt-in master's degree program, called the International Master of Arts Program (IMAP), is available to selected and qualified international officers in NCC and NSC. Non-master's degree international officers in NCC and NSC will earn an NWC diploma and have the ability to utilize their earned graduate credits for transfer to master's programs in other colleges and universities. A critical component of the NCC and NSC international programs is the Secretary of Defense-mandated Field Studies Program. As part of the Field Studies Program, international officers of NCC and NSC will participate in several trips across the U.S. throughout the academic year in order to gain a deeper understanding of the U.S. and U.S. institutions while further developing them for positions of senior leadership at the highest level in their nations. Directors of NCC and NSC will work closely with academic departments when developing FSP schedules in order to minimize missed classroom days. International officers in the master's degree program will normally not miss more than five classroom days each trimester. Additionally, international officers may choose to enroll in the American Studies Certificate Program for credit. The program provides students with an enhanced understanding of American history and culture throughout the academic year. The curriculum includes a focus on American history, American institutions, including the U.S. Constitution, U.S. government structure, and topical issues the international students may learn about throughout their tour in the United States.

(4) College of Maritime Operational Warfare (CMOW). CMOW delivers multiple in-residence courses. Admission requirements and policies for CMOW courses are managed closely by CMOW leadership in coordination with the PNWC in order to continually meet evolving fleet and staff requirements at the operational level of war.

b. <u>Nonresident Students.</u> Students in the rank of Lieutenant/Captain (O-3) or above in the sea Services or Major (O-4) or above in the other Services, and government civilians in the grade of GS-11 (or equivalent) or above may be selected for participation in the College of Distance Education (CDE) nonresident Distance Education Programs. These programs include the Fleet Seminar Program, the Web-Enabled Program, and the Naval War College–at–Naval Postgraduate School Program. Admission to the Fleet Seminar Program or Web-Enabled Program requires formal application through CDE. Division Heads screen and select students based on their academic accomplishments and potential to complete the program. A minimum of a bachelor's degree is required. Web-Enabled students must possess or have ready

access to the appropriate computer equipment. The curriculum for these programs is derived from the accredited resident JPME courses and is composed of the same core ILC courses: JMO; TSDM; S&W and CLE. Additionally, there is a growing list of elective courses available through CDE. Students enrolled in the Fleet Seminar Program may be eligible to apply to the GDP upon completion of their first Fleet Seminar Program course to begin work leading to the Master's Degree in Defense and Strategic Studies. The GDP Admissions Board reviews all GDP applications and recommends worthy candidates for selection to the Dean of the College of Distance Education, who then makes the final selections. Additional information concerning eligibility requirements and admissions procedures can be found on the GDP page of the NWC website. Students in the Naval Postgraduate School PME/JPME Program are accepted based on the requirements established by the Naval Postgraduate School.

2. Special Research Program Policy

The NWC offers several special programs that provide resident JPME students opportunities to conduct advanced research at the College. These programs provide enhanced educational experiences for select students. These programs also encourage innovative and critical thinking, contribute to the professional military and national security literature, support high-level military decision making, and have practical value in the area of building trust and confidence and leadership. The programs fall into two general categories: Group Advanced Research Projects and Individual Advanced Research Projects.

a. <u>Group Advanced Research Projects (GARPs)</u>

Currently, there are five Advanced Research Groups established within the CNWS under the responsibility of the SORD. Each of these groups provides an opportunity for a small group of specially selected students to pursue collaborative research projects on operational and strategic issues of current interest to the senior leadership of the Navy and the DoD. The primary focus of each of the five Advanced Research Groups is as follows:

(1) Halsey Alfa: Examines enduring warfare imbalances of high-intensity conventional warfare in maritime area-denial situations. This group uses iterative, ongoing wargaming and operational analysis as its primary methodologies.

(2) Halsey Bravo: Examines medium-intensity, asymmetric, and anti-access challenges. This group also uses iterative, ongoing wargaming and operational analysis as its primary methodologies.

(3) Holloway Group: Examines enduring warfare imbalances of high-intensity conventional warfare, particularly regarding Russian naval power. This group also uses iterative, ongoing wargaming and operational analysis as its primary methodologies.

(4) Gravely Group: Students in this group pursue individual research projects in integrated air and missile defense, undersea warfare based on current and future operational requirements, adding to the overall body of knowledge in these mission areas, and other topics deemed relevant to naval warfare.

(5) Mahan Scholars Program: Students participate in individual and collaborative research projects on an issue of strategic relevance to the U.S. Navy and its role in Joint warfare. It consists of a linked program of course work in the core JPME and elective curricula, as well as a group research effort begun in the fall trimester and completed during the spring trimester.

b. Individual Advanced Research Projects

The Individual Advanced Research Projects allow qualified students to undertake individual research projects that can substitute for up to three elective courses. These projects, comparable to master's research projects, are subject to review and approval by the Advanced Research Council (ARC). They are supervised by faculty advisors with expertise in the areas studied. Faculty members, including the faculty advisor chosen to guide the student's research and the director of the program, evaluate each ARP proposal and final product. Normally, individual research projects are proposed in the student's first trimester at the College, with preliminary research done in the second trimester. The student's final trimester is then used to complete the research and produce the written product. Individual Advanced Research Projects are extremely rare and will be considered only for students already possessing a Ph.D. and peer-reviewed publications in a field directly related to security studies or for students possessing significant faculty experience in a relevant core JPME course.

For both the Group and Individual Advance Research Projects, students participate in their respective research groups as an elective for two trimesters. During one trimester, ARP students participate full-time in their research groups and, unless waived by the Provost, in completing one of the core academic courses as an elective. Each student receives a numerical grade for participation in the ARP that becomes part of his or her transcript at the College, contributes to the student's class standing, and is credited to his or her matriculation to the master's degree and JPME requirements.

3. Electives Policy

Resident JPME students may choose a specific area of study or they may choose from a variety of electives from various areas of study (AoS).

a. Resident U.S. JPME Student Participation. All U.S. students and those international officers in the master's degree program are required to enroll in one elective for credit each trimester. If approved by the Associate Dean of Academics, a student may fulfill this requirement by conducting a Directed Research Project (DRP) during one of the trimesters the student is not taking the Leadership in the Profession of Arms course. Students may select a specific area of study, which may also be associated with an Additional Qualification Designator, or enroll in open registration if their intent is to take courses from different area of study during their elective trimesters. Once a student has been assigned to a seat in an elective course, the student will remain in that course for the entire trimester. Transfer to another elective course may be considered by the Dean of Academics based on written recommendations by the Associate Dean of Academics, the Dean of Students, and, as appropriate, the senior Service advisor when the needs of the specific Service are

involved. Transfer to a different elective course after the completion of the first lesson will not be permitted except for rare and unforeseen circumstance.

b. Restrictions on Directed Study/Research Electives. A student is normally permitted to take only one directed study/research elective (see paragraph 2 for description of Special Research Programs) deemed relevant to his/her selected area of study if he or she has selected an area of study.

c. Auditing. A student desiring to take additional electives may be allowed to do so if class size restrictions permit as an overload or as an "audit," subject to the approval of the Dean of Students, the Associate Dean of Academics, the professor of the elective course concerned, and, if appropriate, the student's Senior Service Advisor.

d. Class Composition. Elective courses will be filled on a first-come, first-served basis; and, when a class is full, it will be removed from the registration listing. Some seats may be reserved for incoming students for opportunities within each area of study. NCC and NSC officers register in unclassified electives separately from CNW and CNC&S students into a number of quotas set aside specifically for international officers in order to enhance the seminar with a more diverse perspective. Those international seats in an elective that go unfilled can be filled by U.S. students.

e. Class Size. Class size shall be determined by room size, availability of course material, and the professor's preference for the number of students he or she is willing/able to teach. In no case will more students be assigned to a particular elective than can be supported. Class size determinations will be approved by the Associate Dean of Academics.

f. Minimum Student Requirements. All elective courses have a minimum student requirement for assignment of graduate credits for work completed. Normally, U.S. resident students and international officers in IMAP will take one two-credit elective course each trimester; they require thirty hours of in-seminar contact time as well as a written product of a minimum of fifteen pages, or a combination of paper(s), examinations, or formal presentations that approximates this level of effort. A four-credit elective course requires sixty hours of in-seminar contact time plus a written product of thirty pages, or an equivalent combination as above. A three-credit elective course requires 45 hours of in-seminar contact time plus a written product of twenty to twenty-five pages, or an equivalent combination as described above. Three-credit and four-credit courses are normally limited to certain courses offered by CDE through its Web-Enabled Program. Officers not in IMAP are not required to complete all written elective requirements. They complete a reduced academic requirement in an elective (as determined by the elective professor and the Associate Dean of Academics) and will receive only one academic credit for a notional two-credit elective course.

g. Electives Workload. The electives program shall be predicated on the expectation of thirty hours in the classroom, and preparation for each meeting. Weekly reading assignments will normally not exceed 100-120 pages per week for each two-credit elective course. Overall, preparatory work for a two-credit elective course

should approximate six hours per each three-hour seminar, thus, nine total hours per week should be committed to each elective.

h. Faculty and Staff Participation. Members of the NWC faculty and staff possessing undergraduate degrees may take elective courses for credit with the permission of their supervisors, the course instructors, and the Associate Dean of Academics.

i. International Student Participation. International officers not enrolled in IMAP may enroll in any unclassified elective on an ungraded basis, space permitting. International students are encouraged to take one elective per trimester, but are not required to take any electives unless enrolled in IMAP. International officers not enrolled in IMAP and who successfully meet at least half of the normal academic requirements of an elective may be awarded one academic credit for the elective course. International officers participating in the American Studies Certificate Program may be awarded one academic credit per semester for participation in the full academic year course.

j. Participation of Non-College-Affiliated Individuals. Certain individuals not affiliated with the College may be authorized to audit one or more elective courses. All such requests will be subject to space availability in a particular elective course, material availability for study, and the instructor's approval. Such requests will be made in writing to the Electives Office for further review and approval by the Associate Dean of Academics.

k. Transfer Credit Guidelines. Credit for elective courses from another college or university that are to be transferred to the GDP will be accepted subject to the following guidelines:

(1) Credit shall be accepted only after the elective course is approved for study by the GDP Program Manager under academic guidelines established by the Associate Dean of Academics. Procedures for course and transfer approval can be found on the GDP page of the NWC website.

(2) It is the responsibility of each student taking elective courses to comply with the policies and procedures of the institution administering the course applicable to admissions, registration, fee payment, and other related matters.

(3) The individual student is responsible for requesting and receiving approval for the course to be transferred, and for arranging to have official transcripts sent to the College's GDP.

l. Teaching Electives. Members of the resident faculty are encouraged to participate in the Electives Program as articulated in their respective MOU. Courses and the timing of those offerings shall be determined by the Associate Dean of Academics via coordination with the Dean of Academics. Effective participation in the NWC's Electives Program shall constitute substantive and explicit service to the NWC's missions, functions, and tasks beyond the teaching or research responsibilities associated with the individual's specific position in the NWC.

Deans, Department Chairs, and/or Directors shall give appropriate weight to their individual faculty members' effective and sustained participation in the NWC Electives Program in their assessments of the faculty members' continued capacity for sustained productivity and engaged, creative service as members of the NWC.

4. Faculty/Staff Pursuit of JPME and/or Master of Arts Degree in Defense and Strategic Studies or National Security and Strategic Studies

a. Qualifications for Program. The process of qualifying for the NWC Master of Arts (MA) degree or NWC diploma may be accomplished over the entire period of the individual faculty member's assignment to the NWC. Department Chairs or Directors must first determine the effect on departmental or organizational staffing and then evaluate the faculty member on his/her capacity to successfully complete all required course work and be of the appropriate pay grade. Resident students should be O-3 or O-4 to enter CNC&S. CNW resident students should be O-5, selected for O-5, or O-6. Faculty applying to the CNC&S nonresident programs may be O-3 to O-6. Normally, a member of the teaching or wargaming faculty who earns course equivalents can complete diploma requirements in two years. Other faculty and staff can normally qualify for the NWC MA or diploma, taking all core JPME courses, in three years. The PNWC will consider exceptions on a case-by-case basis.

b. In-Residence Procedures. NWC faculty and staff who wish to earn the NWC Master's degree or diploma from the CNW or CNC&S in residence will:

(1) Submit an academic plan, endorsed by his or her Department Chair, Director, or supervisor, as well as the department Chair(s) offering the course(s), to the Dean of Academics for approval. The Dean of Academics will advise the applicant and endorsing addressees of approval or non-approval. In the case of approval, the Dean of Students office and the Registrar will also be advised.

(2) Complete satisfactorily all seminars, lectures, papers, and examinations for required courses. Using recorded lectures may be allowed with the department Chair's permission when other duties preclude personal attendance.

(3) Seek waivers when appropriate for teaching or gaming faculty. Written certification, from the relevant Department Chair or Director, of satisfactory completion of the required minimum equivalent will be forwarded to the Dean of Academics and the Registrar.

c. Naval War College Faculty Grading Criteria. All course requirements will be completed for grade. Those faculty or staff members who earn a final grade of no less than a B– in each core course or ARP, and who pass an elective course in each of three trimesters, will be awarded the NWC Master of Arts Degree for their respective course of study (National Security and Strategic Studies for CNW; Defense and Strategic Studies for CNC&S). An NWC faculty member assigned to one of the resident JPME core course departments, or to CDE, may earn the degree by completing the following:

(1) Teach one seminar in the resident or nonresident core course to which assigned. A faculty member who does not teach the entire curriculum of his/her

department will either take a graded written examination or complete a research paper (fifteen pages in length) within the department core JPME course learning objective, but outside the faculty member's immediate teaching field. The appropriate Dean or Department Chair will assign and provide for grading the product of this requirement.

(2) Take in-residence the other two core JPME courses (Strategy and Policy, National Security Affairs, or Joint Military Operations), earning at least a B– in both. All course requirements will be completed for grade. The grade the student will receive for his/her own department will be the average of the grades awarded in the other two core JPME academic departments.

(3) Teach or take three different electives with a passing grade.

5. Academic Calendar

The Academic Planning Calendar is published each year and contains a list of key dates for each trimester, including the dates of symposia and forums and recess periods/holidays. A monthly calendar is also published for each course syllabus detailing specific time blocks for lectures, seminars, and exercises pertinent to its course of study. These publications are complemented by a weekly schedule and a web-based calendar.

6. Academic Honor Code

a. Background. The NWC diligently enforces a strict academic code requiring authors to credit properly the source of materials directly cited in any written work submitted in fulfillment of diploma/degree requirements. Simply put: plagiarism is prohibited. Likewise, this academic code prohibits cheating and the misrepresentation of a paper as an author's original thought. Plagiarism, cheating, and misrepresentation are inconsistent with the professional standards required of all military personnel and government employees. Furthermore, in the case of U.S. military officers, such conduct clearly violates the "Exemplary Conduct Standards" delineated in Title 10, U.S. Code, Sections 3583 (U.S. Army), 5947 (U.S. Naval Service), and 8583 (U.S. Air Force).

b. Discussion

(1) Plagiarism: Plagiarism is the use of someone else's work without giving proper credit to the author or creator of the work. It is passing off as one's own another's words, ideas, analysis, or other products. Whether intentional or unintentional, plagiarism is a serious violation of academic integrity and will be treated as such.

(a) Plagiarism includes but is not limited to the following actions:

1. The verbatim use of others' words without citation.

2. The paraphrasing of others' words or ideas without citation.

3. Any use of others' work (other than facts that are widely accepted as common knowledge) found in books, journals, newspapers, websites, interviews, government documents, course materials, lecture notes, films, etc., without giving credit.

(b) Authors are expected to give full credit in their written submissions when utilizing another's words or ideas. Such utilization, with proper attribution, is not prohibited by this code. However, a substantially borrowed but attributed paper may lack the originality expected of graduate-level work; submission of such a paper may merit a low or failing grade, but is not plagiarism.

(c) Faculty members are expected to give full credit in their written work that supports the academic courses. Readings and summary documents published through the academic departments or through the NWC Press shall be treated as scholarly papers, fully crediting sources used and ideas borrowed. The level of originality of faculty-written readings may differ significantly from that expected of student-written papers, however, as the intent of faculty work is often to summarize, or compare and contrast various published works on the same subject. Faculty members shall always remember that their work serves as an example to the students for style, format, and integrity.

(2) Cheating: Cheating is defined as the giving, receiving, or using of unauthorized aid in support of one's own efforts, or the efforts of another student. (Note: NWC reference librarians are an authorized source of aid in the preparation of class assignments but not on exams.) Cheating includes the following:

(a) Gaining unauthorized access to exams;

(b) Assisting or receiving assistance from other students or other individuals in the preparation of written assignments or during tests, unless specifically permitted; and/or

(c) Utilizing unauthorized materials (notes, texts, crib sheets, and the like, in paper or electronic form) during tests.

(3) Misrepresentation: Misrepresentation is defined as reusing a single paper for more than one purpose without permission or acknowledgment. Misrepresentation includes the following:

(a) Submitting a single paper or substantially the same paper for more than one course at the NWC without permission of the instructors.

(b) Submitting a paper or substantially the same paper previously prepared for some other purpose outside the NWC without acknowledging that it is an earlier work.

c. <u>Action</u>

(1) Plagiarism, cheating, and misrepresentation of work are prohibited. An author who is unsure whether certain conduct would constitute plagiarism, cheating, or misrepresentation shall seek the guidance of his or her seminar moderator or faculty advisor prior to submission of the assignment or the taking of the test involved.

(2) If a student's submitted written work appears to violate this code of conduct, the following procedures shall be followed. (Note: While the following procedures are written as if the violation occurred within Academics Affairs, they

shall be followed if the violation occurs in another deanery, modified to reflect that dean's organizational structure. Additionally, while specific time frames for each step are not delineated, each should be completed as expeditiously as possible.)

(a) The executive assistant of the department concerned, or the Deputy Dean of the College of Distance Education, or the Deputy Dean of the College of Leadership and Ethics, as appropriate, will be notified.

1. That department will investigate the matter to determine whether there is substantial evidence of a violation. Prior to referral to the Academic Integrity Review Committee (AIRC), the appropriate department shall advise the student of the nature of the violation, present the student with information that supports the alleged violation, and allow the student an opportunity to comment and/or submit information on his/her behalf. In cases of suspected plagiarism, previous papers submitted by the student will be evaluated for irregularities.

2. Following the departmental investigation, if evidence of an academic integrity violation is found, the appropriate Chair or Director will forward the evidence and any other pertinent information about the case, along with a disposition recommendation, to the appropriate Dean.

3. The Dean will review the case and if part of the JPME curriculum refer the case to the Dean of Academics, who serves as the College's Chief Academic Officer. The Dean of Academics will review and recommend to the Provost whether to refer the case to an AIRC.

4. Depending on the nature of the violation, and at the Provost's discretion, the Provost may elect to have the matter settled by the appropriate Department Chair or Director, in consultation with the appropriate Dean, the Dean of Students, or the Director of the NCC or the Director of the NSC, as appropriate. In this case, the Provost shall be notified of the final action taken. Alternatively, the Provost may refer the case to the AIRC, at which time the PNWC will be notified of the pending action.

5. If the case is referred to the AIRC, the appropriate Chair or Director will ensure the student is advised of his/her rights and will prepare an evidentiary binder for all AIRC members for review at least three working days prior to the session. The NWC SJA shall be consulted for advice and to obtain the appropriate rights advisement to use in questioning the student suspected of the academic honor code violation. For students from other services their senior advisors should be consulted to make available appropriate counsel.

(b) The AIRC will be composed of the following members:

1. Dean of Academics (serves as chairman)

2. Dean of the College of Distance Education (as required)

3. Dean of the College of Leadership and Ethics (as required)

4. Dean of the Center for Naval Warfare Studies (as required)

5. Dean of the College of Maritime Operational Warfare (as required)

6. Academic Department Chair/Director (or designated representative)

7. Dean of Students (for U.S. students)

8. Service advisor (as applicable)

9. Dean of International Programs (or designated representative, as required)

10. Two at-large faculty members

11. Other(s) as deemed appropriate by the Provost

(c) The AIRC will thoroughly review the case, interview the student if physically present, make findings of fact, and recommend appropriate action to the PNWC via the Provost. This action may include any or all of the following:

1. Lowering of grades on the affected work (this will be a letter grade of F and a numerical grade of between 0 and 59) or on the entire course of instruction.

2. Inclusion of remarks in fitness reports.

3. Letters to appropriate branches of the Service, agencies, offices, or governments.

4. Dismissal from NWC.

5. Referral for disciplinary action under the Uniform Code of Military Justice, or for appropriate action under the rules governing civilian personnel.

(d) Violations discovered after graduation will be processed similarly and may result in referral of the matter to the current command or office of the individual concerned and, if appropriate, revocation of the NWC diploma, master's degree, and/or JPME credit.

(e) No adverse action, based on violation of this code, may be taken without first advising the individual concerned of the nature of the violation and the information that supports the violation and allowing the individual concerned to submit information on his or her behalf.

d. <u>Scope</u>

(1) All faculty, staff, and students shall be familiar with and follow the provisions of this section.

(2) The Dean of Students (or the appropriate Dean) shall ensure that all incoming students are briefed on this instruction during orientation, and the Dean of Students shall include this section in the student handbook. The Directors of the Naval Command College and Naval Staff College shall ensure that all incoming international students are briefed on this instruction during orientation.

(3) Dean, Directors or academic Department Chairs shall regularly brief their faculty on this section and shall ensure that all newly reported faculty members are fully cognizant of the provisions contained herein.

e. <u>Due Process</u>

(1) Student Misconduct. If written work is submitted that appears to violate the academic honor code, the procedures outlined in the preceding paragraphs will be followed.

(2) Faculty Misconduct. If a student believes that a faculty member has violated the code of academic ethics, the student may initiate a complaint in accordance with the Enforcement Procedures, specified in Chapter II, section 1b(4). Such complaints from a student should first be explored informally with the Dean of Students. Final complaints, if necessary, should be brought to the attention of the Provost via the student's formal chain of command.

f. <u>Personal Responsibility</u>

Students who allegedly engage in conduct or behavior that is contrary to good order and discipline or that reflects poorly on their Service or the NWC will have their case reviewed by the PNWC via the Dean of Students (U.S. students) or the applicable Dean for appropriate disposition. Based upon a review of the evidence and after consideration of any rebuttal offered by the student, the PNWC may direct any or all of the following, if applicable:

(1) Verbal and/or written counseling;

(2) Inclusion of remarks in fitness reports;

(3) Letters to appropriate branches of the Service, agencies, offices, or governments;

(4) Dismissal from NWC;

(5) Appropriate disciplinary action pursuant to the Uniform Code of Military Justice or the appropriate action under the rules governing civilian personnel.

7. Examination and Grading

This section provides general information and guidance on examinations and grading for resident and nonresident students.

a. <u>Discussion.</u> Examinations and grading are an important part of the educational process. They serve a variety of purposes, the most important of which is to reinforce the learning process. Further, they provide the faculty with an effective means of determining student learning outcomes and the degree to which course materials have been internalized and understood, and they enable the NWC to measure how well its educational objectives are being fulfilled.

b. <u>Policy</u>

(1) Resident Students

(a) *Master's Degree Students*. All U.S. resident students in the College of Naval Warfare and the College of Naval Command and Staff and those international officers of Naval Command College and Naval Staff College accepted into the Master's degree program, will be examined and graded in the three trimester studies prescribed by JMO, NSA, and S&P, and the program for CLE. The final academic grade will be derived by appropriately weighting and averaging numerical results obtained in the three trimesters. In the Electives Program, students will be graded on a High Pass/Pass/Fail basis. Each student must take one two-credit elective in each trimester in which they are not taking the two-credit Leadership in the Profession of Arms course; students in an ARP, MAWS, or ASP take a modified version of the LPA course. All prescribed, elective, and special program requirements must be satisfactorily completed prior to graduation. Exceptions to this policy will be approved only by the Dean of Academics after administrative review of the particular circumstances involved. Department Chairs and the Associate Dean of Academics are responsible for notifying the Dean of Academics and the Registrar, in writing, immediately upon learning of an incompletion on the part of a student. This notification will include a statement of circumstances and a departmental recommendation.

(b) *International Students not in the Master's Degree Program*

<u>1.</u> Naval Command College. Senior-level international students in the Naval Command College are fully integrated in CNW, attending seminars and lectures alongside their U.S. counterparts. They complete class and seminar exercises and writing assignments in JMO and S&P and may choose to complete the exams in JMO and S&P on an ungraded basis. For NSA's National Security Decision Making course, international officers must choose to complete one of the three written requirements across the three NSDM sub-courses on an ungraded bases. For NSA's NSDM course, international officers are expected to complete one mid-term exam, a final exam or analytic research paper, and participate in the capstone final exercise. The faculty will evaluate all academic work submitted by international students and provide substantive, written feedback. However, although written feedback is provided for all international students, only those students enrolled in the master's degree program will receive a graded evaluation.

2. Naval Staff College. Intermediate-level international officer students in the NSC course are fully integrated in CNC&S, attending seminars and lectures alongside their U.S. counterparts. They complete class and seminar exercises and writing assignments in JMO and S&W; for NSA's TSDM course, international officers are expected to complete one mid-term exam, a final exam or analytic research paper, and participate in the capstone final exercise. International officers will also participate in CLE's program of academic work. The faculty will evaluate all academic work submitted by international students and provide substantive, written feedback. However, although written feedback is provided for all international students, only those students enrolled in the master's degree program will receive a graded evaluation.

(2) Nonresident Students

(a) *Intermediate-Level Program Students*. Nonresident students in CDE must complete versions of the core JPME courses of JMO, TSDM, S&W, and CLE that have been derived from and are parallel to the resident syllabi but that have been modified to meet the constraints of the educational methodology associated with the specific program. Nonresident students will be examined and graded in the core JPME courses as prescribed by relevant syllabi. The final academic grade will be derived by equally weighting and averaging numerical results obtained in the courses. Completion of electives is not required for nonresident students. Nonresident students in the Graduate Degree Program must successfully complete three electives in an elective area of study to be eligible for the Master of Arts Degree in Defense and Strategic Studies.

(b) *Online PME Students*. The Online PME program consists of four courses, available via the Navy Knowledge Online Integrated Learning Environment (NKO/ILE). The Primary PME course is designed to take about seventy hours to complete. The Primary PME course is designed for officers in the grades CWO to O-4, senior enlisted leaders in the grades of E-7 to E-9, and their equivalent DON civilians. Students' completion status is tracked in their Electronic Training Jackets. Reservists are eligible for twenty-five retirement points. NWC provides PME courses for the junior enlisted. The Basic Enlisted PME course (E-5 to E-6) is designed to take about forty hours to complete and the Introductory Enlisted PME course (E-1 to E-4) approximately twenty hours to complete. Both are available online via the NKO/ILE and each student's completion status is tracked in the Electronic Training Jacket. Reservists are eligible for retirement points upon course completion. All online PME courses have multiple-choice assessment tests at the end of each lesson. Students must successfully pass each examination before proceeding to the next lesson.

c. Grades

(1) Prescribed Curricula. Each of the NWC academic programs has a required, core curriculum that meets the Navy and joint PME requirements for its

respective level. The prescribed curriculum for resident students in the intermediate- and senior-level programs also includes an elective area of study. Students in the nonresident Graduate Degree Program must also complete the elective requirements.

(a) *Senior-Level PME with JPME Phase II*. The academic program consists of a core curriculum, consisting of JMO, NSA, S&P, CLE, prescribed academic conferences, the Speakers Program, and an Electives Program requirement consisting of two two-credit courses (or three two-credit courses if enrolled in an ARP).

(b) *Intermediate-Level PME with JPME Phase I*

1. For resident students, the academic program consists of a core course, including TSDM, S&W, JMO, CLE, prescribed academic conferences, and an Electives Program requirement consisting of two two-credit courses (or three two-credit elective courses if enrolled in an ARP).

2. Nonresident Graduate Degree Program students complete an academic program consisting of the three core courses administered through CDE's Fleet Seminar Program and nine approved graduate-level semester hours of elective course work.

3. For all other nonresident intermediate-level programs, the core academic program consists of Theater Security Decision Making (TSDM), Strategy and War (S&W), and Joint Maritime Operations (JMO).

(c) *Online PME with JPME*. The curriculum is provided via NKO/ILE and is available 24/7 worldwide, afloat and ashore. Four courses are available: Primary PME (Officer) (CWO to O-4), Primary PME (Enlisted) (E-7 to E-9), Basic Enlisted PME (E-5 to E-6), and Introductory Enlisted PME (E-1 to E-4). In all four courses the curriculum flow is Introduction, Culture of the Navy, Governance of the Navy, How the Navy Thinks about War, How the Navy Plans Its Operations, Technology and Warfare in the Maritime Domain, and the Conclusion. Designed to develop a shared understanding of Navy capabilities for the joint warfight by the Navy's deck-plate-level leaders, the officer and senior enlisted versions share a common, core curriculum, supplemented by some specific focused material.

(d) Except for the Electives Program (paragraph 7c[4] below), all work in the prescribed curricula for the intermediate- and senior-level programs will be graded using the following standards:

Letter Grade	Numeric Range	Numeric Equivalent	Description
A+	97–100	98	Work of very high quality; clearly above the average graduate level.
A	94–<97	95	
A–	90–<94	92	
B+	87–<90	88	Expected performance of the average graduate student.
B	84–<87	85	
B–	80–<84	82	
C+	77–<80	78	Below the average performance expected for graduate work.
C	74–<77	75	
C–	70–<74	72	
D+	67–<70	68	Well below the average performance expected for graduate work.
D	64–<67	65	
D–	60–<64	62	
F	0–<60	As assigned	Unsatisfactory work.

(e) Grades assigned by faculty for papers, examinations, exercises, and seminar preparation/contribution will be expressed in whole numbers or in letter grades and their numeric equivalent from the scale in paragraph 7c(1)(d) above.

(f) Since the grade of F covers a large numeric range, a specific numeric grade between 0 and 59 must be assigned.

1. Student work that is not completed will receive a numeric grade of zero (0).

2. Unexcused tardy student work—that is, work turned in past the deadline without previous permission by the instructor—will receive a grade not greater than C+ (78).

(g) Student work determined to be in violation of the academic honor code will receive a grade of F. The College's AIRC will assign an accompanying numeric grade to the F of between 0 and 59.

(h) Final course grades will be expressed as the unrounded numerical average, to two decimal places, along with corresponding letter grades with pluses or minuses, as appropriate.

(2) Grade Distribution. Historical evidence indicates that a grade distribution of 35–45 percent As and 55–65 percent Bs and below is commonly achieved by the overall NWC student population. While variations from this norm might occur from seminar to seminar and subject to subject, it will rarely reach

an overall A to B-and-below ratio of greater than or equal to an even fifty-fifty distribution.

(3) Weighting of Course Components. As a rule, at least 60 percent of a final course grade must be derived from written work. Department Chairs and ARP coordinators will announce the weights attached to each course component (e.g., exams, essays, papers, seminar preparation/contribution) at the beginning of each trimester. It is the responsibility of both Department Chairs and individual instructors to ensure that students understand the weighting of course components and the grading system at the outset of each course.

(4) JPME Resident Course Electives Program

(a) All work in the Electives Program will be graded on a High Pass/Pass/Fail scale using the following standards:

Grade	Description
High Pass	Work of very high quality that is clearly indicative of performance above the average expected of a graduate-level student. Overall work (writing assignments, seminar participation, group project) must equal or exceed "A" level standards (94 or higher) used in Core curriculum.
Pass	Expected performance of a graduate-level student in meeting all course requirements.
Fail	Performance well below the minimum level expected for graduate work, and may include failure to meet all course requirements."

(b) Elective grades will not be a component of a student's final academic standing, but satisfactory performance in the Electives Program is required for graduation.

(5) Additional Instructions on Grading for Distance Learning Courses

(a) *Intermediate-Level JPME.* Students in the Web-Enabled Program complete written assignments that are evaluated for a grade, in accordance with 7 c above, as well as interactive online discussions which are fundamental to their contribution grade.

(b) *Primary PME.* Online Primary PME (Officer) consists of 135 lessons. The Online Primary PME (Senior Enlisted) consists of 142 lessons. Both courses have multiple-choice assessment tests at the end of each lesson. These tests contain eight questions that are randomly chosen with randomized answer sequencing to minimize compromise. Students are required to successfully pass each examination with a minimum score of 75 percent (six of eight) before being allowed to move forward in the curriculum. Students who do not successfully pass an examination are given the option to retake the exam immediately, or to review

the course material before the retest.

(c) *Basic and Introductory Enlisted PME.* Basic Enlisted PME consists of seventy lessons and the Introductory Enlisted PME consists of twenty-seven lessons. As with the Primary PME courses, both have multiple-choice assessment tests with eight randomized questions at the end of each lesson. Students must successfully pass each examination with a minimum score of 75 percent (six of eight correct) before moving forward in the curriculum. Students who do not successfully pass an examination are given the option to retake the exam immediately or to review the course material before retesting.

d. Special Programs Grading Requirements. A small number of students will participate in ARPs that will be graded according to the same criteria as the rest of the curriculum. Syllabi for Group ARPs and guidance for Individual ARPs will provide specific grading guidance that meets the requirements outlined in paragraph 7c above. Students authorized to pursue such special programs are eligible for honors. The grade distribution commonly found in core courses is mirrored in the special programs.

e. Examinations. Closed- or open-book examinations may be administered with or without a time limit in any location designated by an instructor. The work, in all instances, will be exclusively the product of each student's own effort. Assisting or receiving assistance from other students during the examinations is prohibited.

(1) Closed-Book Examinations. These are defined as those in which no reference material, including notes, texts, crib sheets, and the like, in paper or electronic form, may be used to prepare responses. Students using personal computers to prepare their responses must be particularly careful to begin and finish their exams in a new file and not to refer to any other files.

(2) Open-Book Examinations. These are defined as those in which some or all reference material provided or prepared in the course of study may be used to write responses.

(3) Grading. All evaluated written work will be graded promptly and in keeping with the criteria in paragraph 7c above. Examinations will normally be returned (or if classified, available for student review) with relevant written comments within 14 days of submission.

f. Academic Requirements for JPME Graduation

(1) Resident U.S. JPME Students. U.S. resident students in the CNW or CNC&S who earn a final grade of B– or above in each core course (or an approved ARP in lieu of one of the core courses) and who pass each of their elective courses (or each elective if enrolled in an ARP) are awarded the NWC Master of Arts Degree for their respective course of study (National Security and Strategic Studies for CNW; Defense and Strategic Studies for CNC&S) and are also eligible for JPME certification (CNW—Phase II; CNC&S—Phase I). Resident students from the CNW and the CNC&S who complete the three core courses (or an approved ARP in lieu of

one of the core courses) with an overall average grade of B– or better and not more than one course grade in the C category and who pass each of their elective courses are eligible for the NWC diploma and the appropriate JPME certification. Earning a grade below a C in any course will result in disenrollment.

(2) International Master's Degree Students. The same academic requirements for graduation that apply to the resident U.S. students also apply to international students (NCC and NSC) enrolled in the master's degree program.

(3) College of Distance Education. Successful completion of the nonresident, intermediate-level Fleet Seminar Program is recognized by the award of the NWC CNC&S diploma and JPME Phase I certification. Fleet Seminar students who have been accepted in the Graduate Degree Program and earn a final grade of B– or above in each core course and pass (a grade of B– or better where appropriate) nine semester credit hours of approved elective coursework are also awarded the NWC Master of Arts Degree in Defense and Strategic Studies. Successful completion of other nonresident, intermediate-level programs is recognized by the award of the CDE diploma and JPME Phase I certification. To earn either the NWC CNC&S diploma or the CDE diploma, a student must complete all core courses with an overall grade average of B– or better and not more than one course grade in the C category.

(4) Credit Hours Policy. A final course grade below 80 is below acceptable standards for the Master's degree and graduate-level work. Students will receive no graduate credit for this course work and this will be clearly reflected on their official transcripts. This policy applies to both resident and nonresident students.

g. <u>Counseling</u>

(1) Resident Students. Faculty advisors and seminar moderators will provide students with periodic evaluations of their performance. This feedback is particularly important to apprise students of their academic performance. Faculty should make themselves available for consultation with students when required or when asked for by a student.

(2) CDE Students. Fleet Seminar and NWC-at-NPS students should arrange specific counseling sessions with their local or adjunct faculty. Distance learning students enrolled via NKO should use the identified CDE point of contact for academic counseling.

h. <u>Statistical Data on Grades.</u> As prescribed in paragraph 7j(1)(c) below, Department Chairs will provide students with statistical data on grades at the end of each trimester. This information can be used by students to evaluate their own performance as compared to that of the other students in the class.

i. <u>Review of Grades</u>

(1) Resident Students. Within seven calendar days of receiving a grade, resident students may request an appeal of the grade. Specific procedures for the appeal process are detailed in each academic department syllabus or in supplements thereto. Appeals may ultimately be carried to the appropriate Dean, whose decision will be final.

(2) CDE Students. Nonresident students may appeal grades (within 15 days in the Fleet Seminar Program and three days in the Web-Enabled Program) to the applicable Department Head within CDE. Appeals may ultimately be carried through the Dean of the College of Distance Education whose decision will be final.

j. <u>Grades Administration</u>

(1) Department Chairs/Group Advanced Research Project Directors

(a) Provide the Registrar/Dean of Students with the final course grade as the unrounded numerical average, to two decimal places, assigned to each student. Individual academic departments/research groups are responsible for entering their respective grades into the student information system database and informing the Registrar/Dean of Students upon completion. Grades due date will be agreed on between the Dean of Academics and Dean of Students/Registrar and promulgated to the academic departments/advanced research projects at the beginning of the trimester.

(b) Provide each student with a final numerical trimester grade, as the unrounded numerical average to two decimal places.

(c) Within ten days after the final examination, make statistical data on grades available for the information of the students. These data will be presented in the format shown in Addendum 1. A department that has mid-trimester grades may choose to provide the mid-trimester statistical data as well.

(2) Associate Dean of Academics: Provides the Registrar and the Dean of Academics with a description of electives and a final elective grade for each student enrolled each trimester (High Pass [HP], Pass [P], or Fail [F]).

(3) Faculty/Staff Member, Special Programs: Provides the appropriate Department Chair and the Dean of Academics with the description of the program and the student grade. This grade will be reported in the format of paragraph 7c(1) above and comply with the intent of paragraph 7c(2) above for purposes of grade distribution.

(4) Office of the Dean of Students/Registrar

(a) Maintains a permanent record of all intermediate- and senior-level student grades.

(b) Upon written request from a student provides an official transcript showing numerical and letter grades to other educational institutions where the student may subsequently enroll.

8. Transcripts and Transfer Credit

a. <u>Transcripts.</u> In the case of students (resident or nonresident), upon written request to the Registrar, an official transcript showing numerical and letter grades will be provided to other educational institutions. Non-master's degree students who have not had their NWC credits applied toward an NWC degree, will have their earned academic credits available for transfer to another master's degree granting college or university per that institution's transfer credit policy. International officers not in the

master's degree program will earn 5 credit hours per core course (JMO, NSA, S&P, and CLE) and 2 or 1 credit hours per elective depending on elective work submitted.

b. <u>Transfer Credit.</u> The policy of the NWC is not to accept transfer credit for courses completed at another institution in fulfillment of any portion of the resident NWC curriculum. Transfer credit up to nine semester hours as required by the Graduate Degree Program of CDE will be accepted upon the approval of the Graduate Degree Program Manager using guidelines established by the Associate Dean of Academics.

9. Academic Recognition

a. <u>Academic Distinction</u>

(1) Honors are bestowed as recognition of outstanding academic achievement and as a means to further encourage sound scholarship. This honor, based on graduation grade point average, becomes part of the official record, is awarded upon graduation, and appears on the transcript, the diploma, military fitness and evaluation reports, and other documents that convey a student's academic accomplishment. Two categories are awarded for superior scholarship in work leading to the master's degree.

A student whose final grade point average (GPA) stands him or her numerically within the top 20 percent of the student's graduating cohort—October/November, February/March, and June—will be designated as having earned distinction. In determining degrees of distinction within the cohort, a student in the top 5 percent of his or her cohort will be designated on the diploma and transcripts as having graduated *with highest distinction*, and students comprising the next 15 percent will be designated as having graduated *with distinction*. In no case will a GPA of less than 90 percent (A–) earn distinction status.

(2) Those students participating in tailored curriculum programs, composed of a combination of prescribed courses and special research programs, as approved by the Dean of Academics, may also be eligible for a distinguished graduate designation.

(3) When a mathematical distinction between students cannot be made, the proportions stipulated above may be exceeded.

(4) Successful completion of the Electives Program is a prerequisite to eligibility for either of these honors.

(5) Fleet Seminar students compete for honors in similar fashion to resident students but are compared only within their Fleet Seminar cohort in making this determination. For Web-Enabled students, *distinction* and *highest distinction* are determined using as a reference the GPA from the most recent resident College of Naval Command and Staff June graduating cohort.

(6) In the case in which students complete graduation requirements through a combination of resident, Fleet Seminar Program, and Web-Enabled work, the distinction determination will be based on the program in which the student is enrolled at the time of completion.

(7) For cohorts of less than 10 students, determination of High Distinction and Distinction will be calculated by using the average for each category over the past three years.

b. <u>Academic Awards</u>

(1) The Navy League of the United States annually sponsors awards to the two resident students graduating in June who demonstrate a high degree of academic performance, participation in NWC activities, participation in civic/community activities, and promotion of the armed/government services in the public interest. The award presented to the student of the College of Naval Warfare is known as the **Stephen Bleecker Luce Award**; that presented to the student of the College of Naval Command and Staff is known as the **William Sowden Sims Award**. The Dean of Students will submit nominees from each class to the President's Honor Graduate Awards Board, which will determine the winning students. The board consists of the Provost, Dean of Academics, and the Dean of Students. The commemorative plaque for the Luce and Sims Awards will be permanently displayed at the College. The name of each award recipient will be engraved on an individual nameplate, which will be affixed to the permanent plaque.

(2) **The President's Award for CNW and CNC&S Honor Graduates** in the February/March and October/November classes is presented at the respective graduation ceremony to those students who demonstrate a high degree of academic performance, participation in NWC activities, participation in civic/community activities, and promotion of the armed/government services in the public interest. The Dean of Students will submit nominees from each class to the President's Honor Graduate Awards Board, which will determine the winning students. The board consists of the Provost, Dean of Academics, and the Dean of Students. The commemorative plaque for the President's Award will be permanently displayed at the College. The name of each award recipient will be engraved on an individual nameplate, which will be affixed to the permanent plaque. Cohorts for which no students achieved High Distinction or Distinction will not be awarded a President's Award.

(3) Each year the Naval War College Foundation sponsors a monetary award to an outstanding CDE Fleet Seminar Program graduate demonstrating high standards of academic performance, professionalism, and community service. This award is known as the **McGinnis Family Award for Outstanding Performance in Fleet Seminar Education**. The Foundation also presents the **Vice Admiral John T. Hayward Award for Outstanding Performance in Correspondence Education** to a graduate of the CDE Web-Enabled program who displays the highest overall standard of academic performance during his/her enrollment. The final course must have been completed prior to 1 June of the year the award is presented. Each award consists of a thousand-dollar cash prize and a plaque or certificate.

(4) Many varied and prestigious awards are available for professional writing and research by students, allowing an excellent opportunity for professional recognition. Faculty members provide an important link to ensure that students are

made aware of these opportunities and to encourage participation. Department Chairs, the Dean of the College of Distance Education, and faculty are encouraged to screen papers prepared as an academic requirement and, when warranted, provide constructive criticism and motivation to facilitate student submissions for award competition. The Staff Judge Advocate will advise the Dean of Academics with an ethics review when requested in the case of a special academic award. All academic awards from a nonfederal entity that give the recipient any amount of cash, or a specific item (not cash) worth more than two hundred dollars, must receive an ethics review by the Staff Judge Advocate to identify any possible conflicts of interest. The Dean of Academics shall coordinate with the SJA in advance of the award so a proper ethics review can be performed.

A short description of awards is given below for faculty reference. Should a faculty member or student have further interest, please refer to the yearly memorandum from the NWC Writing and Teaching Excellence Center entitled "Professional Writing and Research Awards Program for Academic Year 20XX." Copies of this memo can be obtained from the executive assistants of the respective academic departments. Faculty members should note that papers entered into competition that are the product of an NWC academic requirement may fall into the category of "government works" that are not subject to copyright and may be used by U.S. Government agencies as desired. Honorable mention awards or certificates are presented in nearly every category if, in the opinion of the respective award committee, additional essays deserve special recognition. Papers submitted for award competition may be the result of extracurricular effort or the product of written requirements of the student's academic program. With the exception of entries from nonresident students, papers must be prepared during the academic year of residence. A student may compete for more than one award but may not enter the same paper in more than one competition listed below. However, there are two exceptions: If the paper is submitted for the CJCS/SECDEF essay competitions or the Larry D. Welch Deterrence Writing Award, the same paper may compete in another subject-related competition listed below.

(a) ***Admiral Richard G. Colbert Memorial Prize:*** Awarded for the best paper focusing on an economic, military, political, strategic, or tactical aspect of an appropriate professional topic. The winner will receive a certificate and a cash prize of one thousand dollars.

(b) ***Vice Admiral James H. Doyle, Jr., Military Operations and International Law Prize (2):*** Awarded to the best paper submitted by a U.S. student and the best paper submitted by an international student (in separate competitions within those two student categories) that make a significant contribution to the role of international law in military operations during peacetime or armed conflict. The general and comprehensive field of international law and military operations is intended to cover all aspects of the role international law plays in military operations. This includes planning, mobility, control of the transition from peacetime operations to armed conflict, and the developing role of international law in current operations. Issues pertaining to the law of the sea (including freedom of navigation and overflight,

military uses of the seas and air spaces above, maritime law enforcement, and resource and environmental considerations), the law of armed conflict, and rules of engagement fall within this definition. Each winner will receive a certificate and a cash prize of five hundred dollars.

(c) ***Foreign Area Officer Association (FAOA) Award (2):*** Awarded to the two best research paper on international affairs topics, including regional area and policy issues, FAOA language/culture, and related intelligence and security cooperation matters. Winners will receive a certificate and a plaque, and the FAOA will consider the winning papers for publication in its journal.

(d) ***Admiral Ike Kidd Award:*** Awarded to the intelligence community professional who graduates within the academic year and who demonstrates the highest degree of academic performance. Winner will receive a commemorative wall plaque, brass telescope, and a one-year membership in Naval Intelligence Professionals.

(e) ***Jerome E. Levy Economic Geography and World Order Prize:*** Awarded to the best paper that addresses and proposes potential solutions in the disciplines of economic geography and national/international security. The winner will receive a certificate and a cash prize of one thousand dollars.

(f) ***Marine Corps Association Award:*** Awarded for the best paper on topics relating to the Marine Corps or Marine Corps operations. The winner will receive a certificate and a cash prize of one thousand dollars.

(g) ***J. William Middendorf II Award for Student Research:*** Awarded to a resident/nonresident student or group of students whose paper makes a significant contribution in a field related to strategic or tactical concepts, logistics, or readiness. Entries may be classified. The winner(s) will receive a certificate and a cash award of one thousand dollars.

(h) ***LT Michael P. Murphy Counterterrorism Prizes (2):*** Sponsored by the John Nicholas Brown Counterterrorism Chair, this prize honors the heroism of Lieutenant Murphy, the first Navy Medal of Honor recipient since Vietnam, who led a SEAL team against Taliban fighters that besieged his four-member team. The Lieutenant Michael P. Murphy Prize is awarded to the best paper submitted by a U.S. student and the best paper submitted by an international student (in separate competitions). This is not a research effort. Rather, through demonstrating original thought, the winning paper should offer substantive, succinct, and achievable solutions to prevent and deter future terrorist events that may be directed against the United States, its allies, and interests abroad. Submissions should focus on counterterrorism and not counterinsurgency. Each winner will receive a certificate and a cash prize of five hundred dollars.

(i) ***Naval War College Foundation Award:*** Awarded for the paper making the most significant contribution to some aspect of maritime strategy or the operational level of warfare. This prize encourages original thinking on subjects related to maritime strategy and the operational or strategic issues in maritime theaters

of operations; joint and combined operational or strategic considerations; and historical insights from naval, land, and air campaigns that can be applied to current strategic or operational issues. The winner will receive a certificate and a cash prize of one thousand dollars.

(j) ***B. Franklin Reinauer II Defense Economics Prize:*** Awarded for the best paper addressing an aspect of the impact of economic factors on U.S. national security interests. Papers must focus on a topic interrelating national defense with some economic issue or problem. Examples might include (1) defense expenditure effects on the national economy; (2) the relationship of economics to defense; or (3) international economic issues and their relationship to national security. The winner will receive a certificate and a cash prize of one thousand dollars.

(k) ***Naval Submarine League Prize:*** Awarded for the best paper related to submarine warfare by any student at the NWC. A wide range of topics are eligible, including submarine operations; strategic submarine warfare; support to submarine warfare, such as construction, training, or logistics; and innovative advances in submarine warfare, such as unmanned underwater vehicles. Eligible topics are not limited to the U.S. submarine force and may cover past, current, and future operations. The winner will receive a certificate, a cash prize of five hundred dollars, and an invitation to the Annual Symposium Awards Luncheon held in the Washington, DC, area.

(l) ***Surface Navy Association Prize:*** Awarded to the best paper on the subject of operational employment of surface naval forces. The winner will receive a certificate and a cash prize of five hundred dollars.

(m) ***George C. Kenney Prize:*** General George C. Kenney is best known as the brilliant airman who commanded the Far East Air Forces in the Southwest Pacific campaign in World War II. Kenney's operational genius and unique talents as a tactician, engineer, logistician, and strategist allowed him to make maximum use of the scarce resources available to his secondary theater. This prize encourages original thinking on subjects related to air operations and strategy; joint and combined air operational or strategic considerations; and historical insights from air campaigns. The Kenney Prize is awarded to a student who writes the best essay, exam, or research paper on air power, including the air, space, and/or cyber domains. The winner will receive a certificate and a one thousand dollar cash prize.

(n) ***Robert E. Batemans' International Prize Essay Award:*** Awarded to an international student attending the Naval Command College during a year of residence. Papers should focus on original thinking on force planning or current operational or strategic issues of maritime interest. These may include topics such as (1) concepts for the improved execution of some military task or mission; (2) concepts for the use of military forces—unilaterally, bilaterally, or regionally; or (3) historical insights from maritime campaigns which can be applied to current strategies or operations. The winner will receive a certificate and a one thousand dollar cash prize.

(o) ***Captain Walter B. Woodson, Jr., USN, NSC Award:*** Awarded for the best S&W paper written by an NSC student. Strategy & Policy faculty will

nominate the papers to be considered for this prize; student submissions are not accepted. The winner will receive a certificate and a one thousand dollar cash prize.

(p) ***Zimmerman/Gray Naval Staff College International Prize:*** Awarded to an international student attending the Naval Staff College during a year of residence. This paper should reflect original thinking focused on force planning or current operational or strategic issues. These may include topics such as (1) concepts for the use of military task or mission; (2) concepts for the use of military forces—unilaterally, bilaterally, or regionally; (3) historical insights from maritime campaigns which can be applied to current strategies or operations; (4) a future security or strategy issue of relevance to a particular nation or region of the world. The winner will receive a certificate and a one thousand dollar cash prize.

(q) ***Military Officers Association of America (MOAA) Prize (2):*** Awarded to one U.S. resident student from the College of Naval Warfare and one U.S. resident student from the College of Naval Command and Staff for the papers that are considered to have made a significant contribution to the study, implementation, and spirit of joint-service warfare. Each winner will receive a certificate and a cash prize of five hundred dollars.

(r) ***Armed Forces Communications and Electronics Association (AFCEA) Award (2):*** Awarded to U.S. resident students of the College of Naval Warfare and the College of Naval Command and Staff for papers prepared as part of the academic requirements for the JMO course. Within the scope of acceptable topics for the JMO paper, the award will recognize the two papers considered to be the best of the eligible papers, one from each of two general topic areas: (1) information operations, information warfare, or command and control warfare (IO/IW/C2W); (2) all other topics related to communications, electronics, command and control, and information systems. The latter area may include, but is not limited to, professionally worthy joint, combined, and Service-related topics addressing avionics, command and control, computers, telecommunications, electronics, radar, satellites, and intelligence systems. Winners will receive certificates and table clocks with engraved brass nameplates.

(s) ***The John J. D'Luhy Prize for the Outstanding Strategy and Policy Final Essay given in memory of Professor Michael I. Handel:*** This award is endowed by Mr. John J. D'Luhy, Trustee Emeritus of the Naval War College Foundation, to honor excellence in strategic analysis and the memory of Michael I. Handel, distinguished strategist, author, and NWC professor. Professor Handel was the author of nine books on strategy and military affairs on subjects that ranged from the classical works of Clausewitz and Sun Tzu to the role of intelligence in modern war. Perhaps his most famous book is *Masters of War: Classical Strategic Thought*, now a classic in its own right and required reading at the College and other senior service schools. As a member of the Strategy & Policy Department from 1990 until his untimely death in 2001, Professor Handel made invaluable contributions to professional military education through his scholarship, lectures, classroom teaching, curriculum development, and service to the College. This prize is awarded to a student who writes an outstanding essay for the final examination in the resident intermediate-

or senior-level Strategy & Policy course. This essay must exhibit the qualities that Professor Handel especially prized in strategic analysis: a well-written, systematic examination of a difficult, recurring strategic question that derives insights from both history and strategic theory. The Strategy & Policy faculty will nominate exceptional examination essays for consideration by the prize committee; student submissions are not accepted. The winner will receive a certificate and a one thousand dollar cash prize.

(t) ***James V. Forrestal Award (1):*** Awarded to the top resident College of Naval Warfare seminar at the conclusion of NSDM by the National Security Affairs Department. The top seminar is selected through a rigorous evaluation of its final capstone exercise brief, which offers an assessment of the international security environment, outlines national security and national military strategies, and operating concepts to inform force structure decisions. Winners receive a commemorative certificate and their names affixed to a plaque displayed in Spruance Hall.

(u) ***Admiral James G. Stavridis Award for Excellence in Theater Strategic Planning (1):*** Awarded to one resident College of Naval Command and Staff seminar at the conclusion of the TSDM course offered by the National Security Affairs Department. The award is presented to one seminar that distinguishes itself during the TSDM capstone event through applying course curriculum to deliver exemplary insight to a geographic combatant command's theater assessment, strategy, and capability requirements.

(v) ***The*** **Naval War College Review** ***Prize*** **(3)** are sponsored by the Naval War College Foundation for works published in the *Naval War College Review*. The three best feature articles appearing in the *Review* during a calendar year are awarded cash prizes. Historically oriented feature articles of maritime interest may also be considered for the **Edward S. Miller History Prize**. Authors may, but need not, have an affiliation with the NWC.

Addendum 1
Format for Statistical Report on Grades

MEMORANDUM FOR THE COLLEGE OF NAVAL WARFARE

From: Department Chair

Subj: FINAL GRADE STATISTICS FOR (FALL) (WINTER) (SPRING) TRIMESTER, AY___

1. Number of Students/Grades _____

2. Central Tendencies of Grades: _____

a. Mean (Average) _____

b. Median (Middlemost Grade) _____

c. Range (Highest and Lowest Grades) _____

d. Standard Deviation _____

3. Grade. This distribution shows relative standings of grades broken down by grade and percentage.

Grade	Grades/Percentage
A	_____
A-	_____
B+	_____
B	_____
B-	_____
C	_____
D or Below	_____

_____
(Signature)

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NECHE

New England Commission of Higher Education

Standards for Accreditation

Effective July 1, 2016

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PREAMBLE

The New England Commission of Higher Education (NECHE) is one of seven regional higher education accrediting bodies in the United States. NECHE is a voluntary, non-profit, self-governing organization having as its primary purpose the accreditation of educational institutions. Through its evaluation activities the Commission provides public assurance about the educational quality of degree-granting institutions that seek or wish to maintain accreditation.

Institutions of higher learning achieve accreditation from NECHE by demonstrating they meet the Commission's *Standards for Accreditation* and comply with its policies. The *Standards for Accreditation* establish criteria for institutional quality; in addition, the Commission adopts policies that elucidate the Standards, relate to their application, and otherwise ensure that the Commission is current with respect to federal requirements and changing circumstances in higher education and public expectation. Moreover, the Commission expects affiliated institutions to work toward improving their quality, increasing their effectiveness, and continually striving toward excellence. Its evaluative processes are designed to encourage such improvement.

Each of the Standards articulates a dimension of institutional quality. In applying the Standards, the Commission assesses and makes a determination about the effectiveness of the institution as a whole. The institution that meets the Standards:

- has clearly defined purposes appropriate to an institution of higher learning;
- has assembled and organized those resources necessary to achieve its purposes;
- is achieving its purposes;
- has the ability to continue to achieve its purposes.

The Commission recognizes that some aspects of an institution are always stronger than others. Meeting the Standards does not guarantee the quality of individual programs, courses, or graduates, but serious weaknesses in a particular area may threaten the institution's accreditation.

The Commission approaches institutional differences in ways designed to protect both educational quality and individual philosophy and practice. The Standards are aspirational expectations that must be met at least minimally. They allow the Commission to appraise a wide variety of collegiate institutions, differing in purpose, size, organization, scope of program, clientele served, support, and control. By design, the Standards as explicated welcome perceptive and imaginative innovation aimed at increasing the effectiveness of higher education.

The institution whose policies, practices, or resources differ significantly from those described in the *Standards for Accreditation* must demonstrate that these are appropriate to higher education, consistent with the institution's mission and purposes, and effective in meeting the intent of the Commission's Standards. The existence of collective bargaining agreements, in and of themselves, does not abrogate institutional, faculty, or staff obligations to comply with the *Standards for Accreditation*.

Self-regulation is an essential element in the success of accreditation. Thus, the *Standards for Accreditation* were developed through a lengthy participatory process involving the membership

in articulating the dimensions of quality required of institutions of higher education deserving of the public trust. Indeed the public as well was invited to participate in this process in recognition of the importance of higher education to the individual and collective well being of our citizenry and for our economy. Thus, the Standards represent the accrued wisdom of over 200 colleges and universities and interested others about the essential elements of institutional quality, and they offer a perspective that stresses the public purposes of higher education. The Commission continually evaluates the effectiveness of its Standards and its processes for applying them, and makes such changes as conditions warrant.

Self-regulation obliges institutions to adhere to the Standards as a condition of their accredited status; accredited colleges and universities demonstrate their integrity through their continued voluntary compliance to these criteria. Adherence to the Standards is periodically reviewed through peer evaluations that are preceded by self-studies directed toward demonstrating that the institution meets the Standards and that it has effective means to ensure institutional improvement. This system of accreditation is based on institutions agreeing to participate in and to accept and profit by an honest and forthright assessment of institutional strengths and weaknesses.

Each of the dimensions of institutional quality has a Statement of the Standard set forth in bold type. The considerations in determining the fulfillment of the Standard are articulated in numbered paragraphs below the Statement of the Standard; these considerations provide a basis for institutions to undertake self-study as well as a basis for institutional evaluation by visiting teams and the Commission. Because the Standards represent dimensions of institutional quality, they are necessarily interrelated. Thus, considerations found in one Standard may also have application for another; for example, while there is a Standard on Integrity, Transparency, and Public Disclosure, considerations related to integrity may also be found in several of the other Standards.

January 14, 2016

STANDARD ONE: MISSION AND PURPOSES

The institution's mission and purposes are appropriate to higher education, consistent with its charter or other operating authority, and implemented in a manner that complies with the Standards of the Commission on Institutions of Higher Education. The institution's mission gives direction to its activities and provides a basis for the assessment and enhancement of the institution's effectiveness.

1.1 The mission of the institution defines its distinctive character, addresses the needs of society, identifies the students the institution seeks to serve, and reflects both the institution's traditions and its vision for the future. The institution's mission provides the basis upon which the institution identifies its priorities, plans its future, and evaluates its endeavors; it provides a basis for the evaluation of the institution against the Commission's Standards.

1.2 The institution's mission statement is formally adopted by the governing board and appears in appropriate printed and digital institutional publications.

1.3 The institution's purposes are concrete and realistic and further define its educational and other dimensions, including scholarship, research, and public service. Consistent with its mission, the institution endeavors to enhance the communities it serves.

1.4 The mission and purposes of the institution are accepted and widely understood by its governing board, administration, faculty, staff, and students. They provide direction to the curricula and other activities and form the basis on which expectations for student learning are developed. Specific objectives, reflective of the institution's overall mission and purposes, are developed by the institution's individual units.

1.5 The institution periodically evaluates the content and pertinence of its mission and purposes, ensuring they are current and provide overall direction in planning, evaluation, and resource allocation.

STANDARD TWO: PLANNING AND EVALUATION

The institution undertakes planning and evaluation to accomplish and improve the achievement of its mission and purposes. It identifies its planning and evaluation priorities and pursues them effectively. The institution demonstrates its success in strategic, academic, financial, and other resource planning and the evaluation of its educational effectiveness.

2.1 Planning and evaluation are systematic, comprehensive, broad-based, integrated, and appropriate to the institution. They involve the participation of individuals and groups responsible for the achievement of institutional purposes and include external perspectives. Results of planning and evaluation are regularly communicated to appropriate institutional constituencies. The institution allocates sufficient resources for its planning and evaluation efforts.

2.2 Institutional research is sufficient to support planning and evaluation. The institution systematically collects and uses data necessary to support its planning efforts and to enhance institutional effectiveness. (See also 8.6, 8.7).

Planning

2.3 The institution plans beyond a short-term horizon, including strategic planning that involves realistic analyses of internal and external opportunities and constraints. The results of strategic planning are implemented in all units of the institution through financial, academic, enrollment, and other supporting plans.

2.4 The institution plans for and responds to financial and other contingencies, establishes feasible priorities, and develops a realistic course of action to achieve identified objectives. Institutional decision-making, particularly the allocation of resources, is consistent with planning priorities.

2.5 The institution has a demonstrable record of success in implementing the results of its planning.

Evaluation

2.6 The institution regularly and systematically evaluates the achievement of its mission and purposes, giving primary focus to the realization of its educational objectives. Its system of evaluation is designed to provide valid information to support institutional improvement. The institution's evaluation efforts are effective for addressing its unique circumstances. These efforts use both quantitative and qualitative methods.

2.7 The institution's principal evaluation focus is the quality, integrity, and effectiveness of its academic programs. Evaluation endeavors and systematic assessment are demonstrably effective in the improvement of academic offerings, student learning, and the student experience. Systematic feedback from students, former students, and other relevant constituencies is a demonstrable factor in institutional improvement.

2.8 The institution has a demonstrable record of success in using the results of its evaluation activities to inform planning, changes in programs and services, and resource allocation.

STANDARD THREE: ORGANIZATION AND GOVERNANCE

The institution has a system of governance that facilitates the accomplishment of its mission and purposes and supports institutional effectiveness and integrity. Through its organizational design and governance structure, the institution creates and sustains an environment that encourages teaching, learning, service, scholarship, and where appropriate, research and creative activity. It demonstrates administrative capacity by assuring provision of support adequate for the appropriate functioning of each organizational component. The institution has sufficient independence from any other entity to be held accountable for meeting the Commission's *Standards for Accreditation*.

3.1 The authority, responsibilities, and relationships among the governing board, administration, faculty, staff, and sponsoring entity (if any) are clearly described in the institution's by-laws, or an equivalent document, and in a table of organization that displays the working order of the institution. The board, administration, staff, and faculty understand and fulfill their respective roles as set forth in the institution's official documents and are provided with the appropriate information to undertake their respective roles.

3.2 The institution's organizational structure, decision-making processes, and policies are clear and consistent with its mission and support institutional effectiveness. The institution's system of governance involves the participation of all appropriate constituencies and includes regular communication among them.

Governing Board

3.3 The governing board is the legally constituted body ultimately responsible for the institution's quality and integrity.

3.4 The board demonstrates sufficient independence to ensure it can act in the institution's best interest. The board assures representation of the public interest in its composition and reflects the areas of competence needed to fulfill its responsibilities. Two-thirds or more of the board members, including the chair, are free of any personal or immediate familial financial interest in the institution, including as employee, stockholder or shareholder, corporate director, or contractor.

3.5 Members of the governing board understand, accept, and fulfill their responsibilities as fiduciaries to act honestly and in good faith in the best interest of the institution toward the achievement of its educational purposes in a manner free from conflicts of interest.

3.6 In multi-campus systems organized under a single governing board, the division of responsibility and authority between the system office and the institution is clear. Where system and campus boards share governance responsibilities or dimensions of authority, system policies and procedures are clearly defined and equitably administered.

3.7 The board has a clear understanding of the institution's distinctive mission and exercises the authority to ensure the realization of institutional mission and purposes. The board approves and

reviews institutional policies; monitors the institution's fiscal condition; and approves major new initiatives, assuring that they are compatible with institutional mission and capacity. These policies are developed in consultation with appropriate constituencies. The board assures that the institution periodically reviews its success in fulfilling its mission and achieving its purposes. It regularly reviews the institution's systems of enterprise risk management, external audits, regulatory compliance, internal controls, and contingency management.

3.8 The board systematically develops, ensures, and enhances its own effectiveness through orientation, professional development, and periodic evaluation. Its role and functions are effectively carried out through appropriate committees and meetings.

3.9 Utilizing the institutional governance structure, the board establishes and maintains appropriate and productive channels of communication among its members and with the institutional community.

3.10 The board appoints and periodically reviews the performance of the chief executive officer whose full-time or major responsibility is to the institution.

3.11 The board delegates to the chief executive officer and, as appropriate, to others the requisite authority and autonomy to manage the institution compatible with the board's intentions and the institution's mission. In exercising its fiduciary responsibility, the governing board assures that senior officers identify, assess, and manage risks and ensure regulatory compliance.

Internal Governance

3.12 The chief executive officer, through an appropriate administrative structure, effectively manages the institution so as to fulfill its purposes and objectives and establishes the means to assess the effectiveness of the institution. The chief executive officer manages and allocates resources in keeping with institutional purposes and objectives and assesses the effectiveness of the institution. The chief executive officer assures that the institution employs faculty and staff sufficient in role, number, and qualifications appropriate to the institution's mission, size, and scope.

3.13 In accordance with established institutional mechanisms and procedures, the chief executive officer and senior administrators consult with faculty, students, other administrators, and staff, and are appropriately responsive to their concerns, needs, and initiatives. The institution's internal governance provides for the appropriate participation of its constituencies, promotes communications, and effectively advances the quality of the institution.

3.14 The institution's chief academic officer is directly responsible to the chief executive officer, and in concert with the faculty and other academic administrators, is responsible for the quality of the academic program. The institution's organization and governance structure assure the integrity and quality of academic programming however and wherever offered. Off-campus, continuing education, distance education, correspondence education, international, evening, and weekend programs are clearly integrated and incorporated into the policy formation, academic oversight, and evaluation system of the institution. (See also 4.5)

3.15 The institution places primary responsibility for the content, quality, and effectiveness of the curriculum with its faculty. Faculty have a substantive voice in matters of educational programs, faculty personnel, and other aspects of institutional policy that relate to their areas of responsibility and expertise. (See also 6.2)

3.16 The system of governance makes provisions for consideration of student views and judgments in those matters in which students have a direct and reasonable interest.

3.17 Through its system of board and internal governance, the institution ensures the appropriate consideration of relevant perspectives; decision-making aligned with expertise and responsibility; and timely action on institutional plans, policies, curricular change, and other key considerations.

3.18 The institution using contractual arrangements, consortial or other written agreements involving credits and degrees, the delivery of coursework, the assessment of student achievement, or the recruitment or support of students periodically reviews the effectiveness of such arrangements and negotiates appropriate changes. Consistent with Commission policy, the institution maintains sufficient control over the arrangements to ensure quality in the academic program and services for students and prospective students, including the ability to modify the agreements as needed. Written agreements provide for the termination or phasing out of such arrangements as circumstances warrant, and the institution develops appropriate exit strategies as needed. (See also 4.32)

3.19 The effectiveness of the institution's organizational structure and system of governance is improved through periodic and systematic review.

STANDARD FOUR: THE ACADEMIC PROGRAM

The institution's academic programs are consistent with and serve to fulfill its mission and purposes. The institution works systematically and effectively to plan, provide, oversee, evaluate, improve, and assure the academic quality and integrity of its academic programs and the credits and degrees awarded. The institution sets a standard of student achievement appropriate to the degree or certificate awarded and develops the systematic means to understand how and what students are learning and to use the evidence obtained to improve the academic program.

4.1 The institution offers collegiate-level programs consisting of a curriculum of studies that leads to a degree in a recognized field of study and requires at least one year to complete. The institution for which the associate's degree is the highest awarded offers at least one program in liberal studies or another area of study widely available at the baccalaureate level of regionally accredited colleges and universities.

4.2 The institution publishes the learning goals and requirements for each program. Such goals include the knowledge, intellectual and academic skills, competencies, and methods of inquiry to be acquired. In addition, if relevant to the program, goals include creative abilities and values to be developed and specific career-preparation practices to be mastered.

4.3 Programs leading to degrees or other awards have a coherent design and are characterized by appropriate breadth, depth, continuity, sequential progression, and synthesis of learning. Coherence is demonstrated through learning goals, structure, and content; policies and procedures for admission, retention, and completion; instructional methods and procedures; and the nature, quality, and extent of student learning and achievement.

4.4 The institution offering multiple academic programs ensures that all programs meet or exceed the basic quality standards of the institution and that there is a reasonable consistency in quality among them. The institution provides sufficient resources to sustain and improve its academic programs.

Assuring Academic Quality

4.5 Through its system of academic administration and faculty participation, the institution demonstrates an effective system of academic oversight, assuring the quality of the academic program wherever and however it is offered. (See also 3.14)

4.6 The institution develops, approves, administers, and on a regular cycle reviews its academic programs under institutional policies that are implemented by designated bodies with established channels of communication and control. Review of academic programs includes evidence of student success and program effectiveness and incorporates an external perspective. Faculty have a substantive voice in these matters.

4.7 The institution undertakes academic planning and evaluation as part of its overall planning and evaluation to enhance the achievement of institutional mission and program objectives. These activities are realistic and take into account stated goals and available

resources. Additions and deletions of programs are consistent with institutional mission and capacity, faculty expertise, student needs, and the availability of sufficient resources required for the development and improvement of academic programs. The institution allocates resources on the basis of its academic planning, needs, and objectives.

4.8 The institution undertaking substantive changes (e.g., the initiation of degrees at a higher or lower level, off-campus programs, programs that substantially broaden the scope of the academic offerings, distance learning programs, correspondence education programs, competency- and mastery-based programs, contractual relationships involving courses and programs, academic programs overseas) demonstrates its capacity to undertake and sustain such initiatives and to assure that the new academic programming meets the standards of quality of the institution and the Commission's Standards and policies. In keeping with Commission policy, the institution initiating substantive changes seeks Commission approval prior to implementation. The institution recognizes and takes account of the increased demands on resources made by programs offered at a higher degree level.

4.9 When programs are eliminated or program requirements are changed, the institution makes appropriate arrangements for enrolled students so that they may complete their education with a minimum of disruption.

4.10 If the institution depends on resources outside its direct control (for example, classrooms, information resources, information technology, testing sites), a written agreement ensures the reasonable continued availability of those resources. Clear descriptions of the circumstances and procedures for the use of such resources are readily available to students who require them. (See also 7.21)

4.11 Students completing an undergraduate or graduate degree program demonstrate collegiate-level skills in the English language.

4.12 Expectations for student achievement, independent learning, information literacy, skills in inquiry, and critical judgment are appropriate to the subject matter and degree level and in keeping with generally accepted practice.

Undergraduate Degree Programs

4.13 Undergraduate degree programs are designed to give students a substantial and coherent introduction to the broad areas of human knowledge, their theories and methods of inquiry, plus in-depth mastery of at least one disciplinary or interdisciplinary area. Programs have an appropriate rationale; their clarity and order are visible in stated requirements in official publications and in student records.

4.14 Each undergraduate program includes a general education requirement and a major or concentration requirement. At the baccalaureate level, curricula include substantial requirements at the advanced undergraduate level, with appropriate prerequisites. The institution also affords undergraduate students the opportunity to pursue knowledge and understanding through unrestricted electives.

4.15 Graduates successfully completing an undergraduate program demonstrate competence in written and oral communication in English; the ability for scientific and quantitative reasoning, for critical analysis and logical thinking; and the capability for continuing learning, including the skills of information literacy. They also demonstrate knowledge and understanding of scientific, historical, and social phenomena, and a knowledge and appreciation of the aesthetic and ethical dimensions of humankind.

General Education

4.16 The general education requirement is coherent and substantive. It embodies the institution's definition of an educated person and prepares students for the world in which they will live. The requirement informs the design of all general education courses, and provides criteria for its evaluation, including the assessment of what students learn.

4.17 The general education requirement in each undergraduate program ensures adequate breadth for all degree-seeking students by showing a balanced regard for what are traditionally referred to as the arts and humanities, the sciences including mathematics, and the social sciences. General education requirements include offerings that focus on the subject matter and methodologies of these three primary domains of knowledge as well as on their relationships to one another.

4.18 The institution ensures that all undergraduate students complete at least the equivalent of 40 semester credits in a bachelor's degree program, or the equivalent of 20 semester credits in an associate's degree program in general education.

The Major or Concentration

4.19 The major or area of concentration affords the student the opportunity to develop knowledge and skills in a specific disciplinary or clearly articulated interdisciplinary area above the introductory level through properly sequenced course work or competencies. Requirements for the major or area of concentration are based upon clear and articulated learning objectives, including a mastery of the knowledge, information resources, methods, and theories pertinent to a particular area of inquiry. Through the major or concentration, the student develops an understanding of the complex structure of knowledge germane to an area of inquiry and its interrelatedness to other areas of inquiry. For programs designed to provide professional training, an effective relationship exists between curricular content or competencies and effective practice in the field of specialization. Graduates demonstrate an in-depth understanding of an area of knowledge or practice, its principal information resources, and its interrelatedness with other areas.

Graduate Degree Programs

4.20 Graduate degree programs are designed to give students a mastery of a complex field of study or professional area. Programs have an appropriate rationale; their clarity and order are visible in stated requirements, in relevant official publications, and in the learning outcomes of graduates. Learning objectives reflect the high level of complexity, specialization, and generalization inherent in advanced academic study.

4.21 Graduate programs are not offered unless resources and expectations exceed those required for an undergraduate program in a similar field.

4.22 Faculty responsible for graduate programs are sufficient by credentials, experience, number, and time commitment for the successful accomplishment of program objectives and program improvement. The scholarly expectations of faculty exceed those expected for faculty working at the undergraduate level. Research-oriented graduate programs have a preponderance of active research scholars on their faculties. Professionally-oriented programs include faculty who are experienced professionals making scholarly contributions to the development of the field.

4.23 Students admitted to graduate degree programs are demonstrably qualified for advanced academic study.

4.24 The institution's graduate programs have cohesive curricula and require scholarly and professional activities designed to advance the student substantially beyond the educational accomplishments of a baccalaureate degree program. The demands made by the institution's graduate programs on students' intellectual and creative capacities are also significantly greater than those expected at the undergraduate level; graduate programs build upon and challenge students beyond the levels of knowledge and competence acquired at the undergraduate level. The institution offering both undergraduate and graduate degree programs assesses the relationship and interdependence of the two levels and utilizes the results for improvement.

4.25 Degree requirements of the institution's graduate programs take into account specific program purposes. Research-oriented doctoral programs, including the Ph.D., and disciplinary or research-oriented master's degree programs, are designed to prepare students to generate new knowledge; they emphasize the acquisition, organization, utilization, generation, and dissemination of knowledge. Doctoral degree programs afford the student substantial mastery of the subject matter, theory, literature, and methodology of a significant field of study. They include a sequential development of research skills leading to the attainment of an independent research capacity. Students undertake original research that contributes to new knowledge in the chosen field of study. Disciplinary or research-oriented master's programs have many of the same objectives but require less sophisticated levels of mastery in the chosen field of study than does the research doctorate. While they need not require students to engage in original research, they do provide an understanding of research appropriate to the discipline and the manner in which it is conducted.

4.26 Professional, performance, or practice-oriented programs at the doctoral or master's degree levels are designed to prepare students for professional careers involving the application or transmission of existing knowledge or the development of new applications of knowledge within their field. Such programs afford the student a broad conceptual mastery of the field of professional practice through an understanding of its subject matter, literature, theory, and methods. They seek to develop the capacity to identify, evaluate, interpret, organize, and communicate knowledge, and to develop those analytical and professional skills needed to practice in and advance the profession. Instruction in relevant research methodology is provided, directed toward the appropriate application of its results as a regular part of professional practice. Programs include the sequential development of professional skills that will result in

competent practitioners. Where there is a hierarchy of degrees within an area of professional study, programs differ by level as reflected in the expected sophistication, knowledge, and capacity for leadership within the profession by graduates.

4.27 Programs encompassing both research activities and professional practice define their relative emphases in program objectives that are reflected in curricular, scholarly, and program requirements.

4.28 Students who successfully complete a graduate program demonstrate that they have acquired the knowledge and developed the skills that are identified as the program's objectives.

Integrity in the Award of Academic Credit

4.29 The institution's degrees and other forms of academic recognition are appropriately named, following practices common to American institutions of higher education in terms of length, content, and level of the programs. The institution ensures that minimum degree requirements are 60 semester credits at the associate's level; 120 semester credits at the baccalaureate level; and 30 semester credits at the master's level. The institution demonstrates restraint in requiring credits above the minimum for undergraduate degrees.

4.30 The institution offering competency-based programs, including through direct assessment, produces a transcript for each student showing the credit equivalencies of the competencies attained, in order to demonstrate the comparability of the program and provide students and graduates with transcripts facilitating evaluation of their achievements by other academic institutions and outside entities. Commission Standards and policies regarding the award of credit guide institutions offering competency-based programs to ensure that such programs are at least equivalent in breadth, depth, and rigor. The institution certifies the attainment of competencies for students who have achieved the stated objectives only at levels at or approaching excellence.

4.31 The institution offers required and elective courses as described in publicly available print and digital formats with sufficient availability to provide students with the opportunity to graduate within the published program length.

4.32 The institution demonstrates its clear and ongoing authority and administrative oversight for the academic elements of all courses for which it awards institutional credit or credentials. These responsibilities include course content, the specification of required competencies, and the delivery of the instructional program; selection, approval, professional development, and evaluation of faculty; admission, registration, and retention of students; evaluation of prior learning; and evaluation of student progress, including the awarding and recording of credit. The institution retains, even with contractual, dual enrollment, or other arrangements, responsibility for the design, content, and delivery of courses for which academic credit or degrees are awarded. The institution awarding a joint, dual, or concurrent degree demonstrates that the program is consistent with Commission policy and that the student learning outcomes meet the institution's own standards and those of the Commission. (See also 3.18)

4.33 The evaluation of student learning or achievement and the award of credit or certification of competencies are based upon clearly stated criteria that reflect learning objectives and are consistently and effectively applied. They are appropriate to the degree level at which they are applied.

4.34 Credit awards are consistent with Commission policy and the course content, appropriate to the field of study, and reflect the level and amount of student learning. The award of credit is based on policies developed and overseen by the faculty and academic administration. There is demonstrable academic content for all experiences for which credit is awarded, including study abroad, internships, independent study, and service learning. No credit toward graduation is awarded for pre-collegiate-level or remedial work designed to prepare the student for collegiate study.

4.35 Credit for prior experiential or non-collegiate sponsored learning is awarded only with appropriate oversight by faculty and academic administration and is limited to 25% for credentials of 30 credits or fewer. When credit is awarded on the basis of prior experiential or non-collegiate sponsored learning alone, student learning and achievement are demonstrated to be at least comparable in breadth, depth, and quality to the results of institutionally provided learning experiences. The policies and procedures for the award of credit for prior or experiential learning are clearly stated and available to affected students.

4.36 Students complete at least one-fourth of their undergraduate credits, including substantial advanced work in the major or concentration, at the institution awarding the degree.

4.37 The institution that advances students through their academic programs through transfer or articulation agreements, prior learning assessment, credit recommendation services, or other extra-institutional arrangements evaluates the effectiveness of such arrangements to ensure student achievement in institutionally offered coursework validates the suitability of the credit awards.

4.38 In accepting undergraduate transfer credit from other institutions, the institution applies policies and procedures that ensure the credit accepted reflects appropriate levels of academic quality and is applicable to the student's program. The institution's policies for considering the transfer of credit are publicly available to students and prospective students on its website and in other communications. The information includes the criteria established by the institution regarding the transfer of credit earned at another institution of higher education along with a list of institutions with which it has articulation agreements. (See also 9.19)

4.39 The institution protects academic quality and integrity in the acceptance of transfer credit and seeks to establish articulation agreements with institutions from which and to which there is a significant pattern of student transfer. Such agreements are made available to those students affected by them.

4.40 In accepting transfer credit, the institution exercises the responsibility to ensure that students have met its stated learning outcomes of programs at all degree levels. The acceptance

of transfer credit does not substantially diminish the proportion of intermediate and advanced coursework in a student's academic program.

4.41 At the graduate level, the institution accepts credit in transfer on a strictly limited basis to preserve the integrity of the degree awarded.

4.42 The institution publishes requirements for continuation in, termination from, or re-admission to its academic programs that are compatible with its educational purposes. Decisions about the continuing academic standing of enrolled students are based on clearly stated policies and applied by faculty and academic administrators.

4.43 Graduation requirements are clearly stated in appropriate publications and are consistently applied in the degree certification process. The degrees awarded accurately reflect student attainments.

4.44 Faculty, with administrative support, ensure the academic integrity of the award of grades and certification of competencies, where applicable, and credits for individual courses. The institution works to prevent cheating and plagiarism as well as to deal forthrightly with any instances in which they occur. It works systematically to ensure an environment supportive of academic integrity.

4.45 The institution offering programs and courses for abbreviated or concentrated time periods or via distance or correspondence learning demonstrates that students completing these programs or courses acquire levels of knowledge, understanding, and competencies equivalent to those achieved in similar programs offered in more traditional time periods and modalities. Programs and courses are designed to ensure an opportunity for reflection and for analysis of the subject matter.

4.46 Courses and programs offered for credit off campus, through dual enrollment, through distance or correspondence education, or through continuing education, evening, or weekend divisions are consistent with the educational objectives of the institution. Such activities are integral parts of the institution and maintain the same academic standards as courses and programs offered on campus. Faculty and students receive sufficient support for instructional and other needs. Students have ready access to and support in using appropriate learning resources. The institution maintains direct and sole responsibility for the academic quality of all aspects of all programs and assures adequate resources to maintain quality.

4.47 All students, including those enrolled in off-campus courses, distance learning courses, correspondence education courses, and/or competency-based programs have sufficient opportunities to interact with faculty regarding course content and related academic matters.

4.48 The institution offering distance education or correspondence education has procedures through which it establishes that the student who registers for such a course or program is the same student who participates in and completes the program and receives the academic credit. In carrying out these procedures, the institution protects student privacy.

4.49 The institution offering certificates, badges, and other forms of academic recognition based on competencies or courses offered for credit ensures the coherence and level of academic quality are consistent with its degree programs.

STANDARD FIVE: STUDENTS

Consistent with its mission, the institution sets and achieves realistic goals to enroll students who are broadly representative of the population the institution wishes to serve. The institution addresses its own goals for the achievement of diversity among its students and provides a safe environment that fosters the intellectual and personal development of its students. It endeavors to ensure the success of its students, offering the resources and services that provide them the opportunity to achieve the goals of their educational program as specified in institutional publications. The institution's interactions with students and prospective students are characterized by integrity.

5.1 The institution that enrolls multiple student bodies, by degree level, modality, location, or other variables, ensures that it meets the expectations set forth in this Standard for each of its student bodies.

Admissions

5.2 Consistent with its mission, the institution describes the characteristics of the students it seeks to serve. This description informs recruitment and admissions activities and the academic and other support programs and services available to students.

5.3 The institution has an orderly and ethical program of recruitment and admission that complies with the requirements of legislation concerning equality of educational opportunity. Its admission and retention policies and procedures are clear, consistent with its mission and purposes, and available to all students and prospective students in appropriate printed and digital institutional publications.

5.4 Standards for admission ensure that student qualifications and expectations are compatible with institutional objectives. Individuals admitted demonstrate through their intellectual and personal qualifications a reasonable potential for success in the programs to which they are admitted. If the institution recruits and admits individuals with identified needs that must be addressed to assure their likely academic success, it applies appropriate mechanisms to address those needs so as to provide reasonable opportunities for that success. Such mechanisms receive sufficient support and are adequate to the needs of those admitted. The institution endeavors to integrate specifically recruited populations into the larger student body and to assure that they have comparable academic experiences.

5.5 The institution utilizes appropriate methods of evaluation to assess student readiness for collegiate study and provides services sufficient to serve the needs of students admitted.

5.6 The institution demonstrates its ability to admit students who can be successful in the institution's academic program, including specifically recruited populations. The institution's goals for retention and graduation reflect institutional purposes, and the results are used to inform recruitment and the review of programs and services. (See also 8.6)

Student Services and Co-Curricular Experiences

5.7 The institution ensures a systematic approach to providing accessible and effective programs and services designed to provide opportunities for enrolled students to be successful in achieving their educational goals. The institution provides students with information and guidance regarding opportunities and experiences that may help ensure their educational success.

5.8 The institution systematically identifies the characteristics and needs of its student population and then makes provision for responding to them. The institution's student services are guided by a philosophy that reflects the institution's mission and special character, is circulated widely and reviewed periodically, and provides the basis on which services to students can be evaluated. (See also 8.4)

5.9 The institution offers an array of student services, including physical and mental health services, appropriate to its mission and the needs and goals of its students. It recognizes the variations in services that are appropriate for residential students, at the main campus, at off-campus locations, and for distance education programs as well as the differences in circumstances and goals of students pursuing degrees.

5.10 The institution provides advising and academic support services appropriate to the student body. The institution's faculty and professional staff collectively have sufficient interaction with students outside of class to promote students' academic achievement and provide academic and career guidance.

5.11 A clear description of the nature, extent, and availability of student services is readily available to students and prospective students. Newly enrolled students are provided with an orientation that includes information on student services as well as a focus on academic opportunities, expectations, and support services.

5.12 In providing services, in accordance with its mission and purposes, the institution adheres to both the spirit and intent of equal opportunity and its own goals for diversity.

5.13 Student financial aid is provided through a well-organized program. Awards are based on the equitable application of clear and publicized criteria.

5.14 Through a systematic program, the institution regularly provides students before borrowing with clear and timely information about cost, debt, and repayment. (See also 9.25)

5.15 As appropriate, the institution provides co-curricular activities and supports opportunities for student leadership and participation in campus organizations and governance.

5.16 If the institution offers recreational and athletic programs, they are subordinate to the educational program and conducted in a manner that adheres to institutional mission, sound educational policy, and standards of integrity. The institution is responsible for the control of these programs, including their financial aspects. The institution maintains the same academic expectations for and affords the same academic opportunities to student athletes as other students.

5.17 The institution ensures that individuals responsible for student services are qualified by formal training and work experience and organizationally placed to represent and address the needs of students effectively. Personnel, facilities, technology, and funding are adequate to implement the institution's student services policies and procedures.

5.18 The institution has identified, published widely, and implemented an appropriate set of clearly stated ethical standards to guide student services. Policies on student rights and responsibilities, including student conduct and grievance procedures, are clearly stated, well publicized and readily available, and fairly and consistently administered.

5.19 Following regulatory guidance, the institution has publicly available policies regarding the kinds of information that will be included in the permanent academic record of students as well as policies regarding the retention, safety and security, and disposal of records. Its information-release policies respect the rights of individual privacy, the confidentiality of records, and the best interests of students and the institution.

5.20 Through a program of regular and systematic evaluation, the institution assesses the appropriateness and effectiveness of its student services to advance institutional purposes. Information obtained through this evaluation is used to revise these goals and services and improve their achievement. (See also 8.4)

STANDARD SIX: TEACHING, LEARNING, and SCHOLARSHIP

The institution supports teaching and learning through a well-qualified faculty and academic staff, who, in structures and processes appropriate to the institution, collectively ensure the quality of instruction and support for student learning. Scholarship, research, and creative activities receive support appropriate to the institution's mission. The institution's faculty has primary responsibility for advancing the institution's academic purposes through teaching, learning, and scholarship.

Faculty and Academic Staff

6.1 Faculty categories (e.g., full-time, part-time, clinical, research, adjunct) are clearly defined by the institution as is the role of each category in fulfilling the institution's mission. All faculty are appropriately integrated into the department and institution and have appropriate opportunities for professional development. Where teaching assistants are employed, the institution carefully selects, trains, supervises, and evaluates them. The composition of the faculty reflects the institution's mission, programs, and student body and is periodically reviewed. The institution's use of all categories of faculty and teaching assistants to conduct instruction is regularly assessed, properly overseen, and consistent with its mission.

6.2 There are an adequate number of faculty and academic staff, including librarians, advisors, and instructional designers, whose time commitment to the institution is sufficient to assure the accomplishment of class and out-of-class responsibilities essential for the fulfillment of institutional mission and purposes. Responsibilities include instruction, accessibility to students, and the systematic understanding of effective teaching/learning processes and outcomes in courses and programs for which they share responsibility; additional duties may include, e.g., student advisement, academic planning, and participation in policy-making, course and curricular development, research, and institutional governance. (See also 3.15)

6.3 The preparation and qualifications of all faculty and academic staff are appropriate to the nature of their assignments. Qualifications are measured by advanced degrees held, evidence of scholarship, advanced study, creative activities, and teaching abilities, as well as relevant professional experience, training, and credentials.

6.4 The institution employs an open and orderly process for recruiting and appointing its faculty. Faculty participate in the search process for continuing members of the instructional staff.

6.5 The institution ensures equal employment opportunity consistent with legal requirements and any other dimensions of its choosing; compatible with its mission and purposes, it addresses its own goals for the achievement of diversity among its faculty and academic staff. Hiring reflects the effectiveness of this process and results in a variety of academic and professional backgrounds, training, and experience. Each prospective hire is provided with a written agreement that states explicitly the nature and term of the initial appointment and, when applicable, institutional considerations that might preclude or limit future appointments.

6.6 Salaries and benefits are set at levels that ensure the institution's continued ability to attract and retain appropriately qualified faculty and academic staff whose profiles are consistent with

the institution's mission and purposes. Faculty and academic staff are provided with substantial opportunities for continued professional development throughout their careers.

6.7 Faculty assignments are consistent with the institution's mission and purposes. They are equitably determined to allow faculty adequate time to provide effective instruction, advise and evaluate students, contribute to program and institutional assessment and improvement, continue professional growth, and participate in scholarship, research, creative activities, and service compatible with the mission and purposes of the institution. Faculty assignments and workloads are reappraised periodically and adjusted as institutional conditions change.

6.8 In a handbook or in other written documents that are current and readily available, the institution defines the responsibilities of faculty and other members of the instructional team; the criteria for their recruitment, appointment, retention, evaluation, promotion, and, if applicable, tenure; and policies for resolving grievances.

6.9 The institution has a statement of expectations and processes to ensure that faculty act responsibly and ethically, observe the established conditions of their employment, and otherwise function in a manner consistent with the mission and purposes of the institution.

6.10 Faculty are demonstrably effective in carrying out their assigned responsibilities. The institution employs effective procedures for the regular evaluation of appointments, performance, and retention. The evaluative criteria reflect the mission and purposes of the institution and the importance it attaches to the various responsibilities of, e.g., teaching, advising, assessment, scholarship, creative activities, research, and professional and community service. The institution has equitable and broad-based procedures for such evaluation in which its expectations are stated clearly and weighted appropriately for use in the evaluative process.

6.11 The institution defines the scholarly expectations for faculty consistent with its mission and purposes and the level of degrees offered. Through their scholarly pursuits, all faculty are current in the theory, knowledge, skills, and pedagogy of their discipline or profession. Scholarship and instruction are mutually supportive.

6.12 The institution protects and fosters academic freedom for all faculty regardless of rank or term of appointment.

6.13 When instruction, advising, and support for students are carried out by a variety of faculty and academic and other professionals, the institution ensures that personnel in each category have the academic and professional qualifications appropriate to their roles. The governance system ensures that the experiences and data gathered by each group are coordinated, shared, and reviewed collectively for purposes of improving the academic program and services for students.

6.14 The institution periodically evaluates the sufficiency of and support for academic staff and their effectiveness in teaching and advising, scholarship, service, and as appropriate to institutional mission, research and creative activity. The results of these evaluations are used to enhance fulfillment of the institution's mission.

Teaching and Learning

6.15 The content and methods of instruction meet generally accepted academic and professional standards and expectations, and considerations of educational improvement are informed by a shared understanding of what and how students are learning in their academic program.

6.16 Instructional techniques and delivery systems are compatible with and serve to further the mission and purposes of the institution as well as the learning goals of academic programs and objectives of individual courses. Methods of instruction are appropriate to the students' capabilities and learning needs.

6.17 The institution endeavors to enhance the quality of teaching and learning wherever and however courses and programs are offered. It encourages experimentation to improve instruction. The effectiveness of instruction is periodically and systematically assessed using valid procedures; the results are used to improve instruction. Faculty and academic staff accept their responsibility to improve instructional effectiveness. Adequate support is provided to accomplish this task.

6.18 Students in each major are taught by a variety of faculty to ensure their exposure to different academic strengths and viewpoints. The institution offering multiple sections of the same course ensures an appropriate balance between consistency in learning outcomes and flexibility, allowing students to benefit from individual faculty members' expertise and teaching style.

6.19 The institution's system of academic advising meets student needs for information and advice compatible with its educational objectives. The quality of advising is assured regardless of the location of instruction or the mode of delivery.

6.20 Consistent with its mission and purposes, the institution provides support for scholarship, research, and creative activities. Faculty and students undertake research to an extent reflective of the level and nature of the degrees awarded. Policies and procedures related to research are communicated throughout the institution.

STANDARD SEVEN: INSTITUTIONAL RESOURCES

The institution has sufficient human, financial, information, physical, and technological resources and capacity to support its mission. Through periodic evaluation, the institution demonstrates that its resources are sufficient to sustain the quality of its educational program and to support institutional improvement now and in the foreseeable future. The institution demonstrates, through verifiable internal and external evidence, its financial capacity to graduate its entering class. The institution administers its resources in an ethical manner and assures effective systems of enterprise risk management, regulatory compliance, internal controls, and contingency management.

Human Resources

7.1 The institution employs sufficient and qualified personnel to fulfill its mission.

7.2 Human resources policies are readily available, consistently applied, and periodically reviewed. Policies provide for the fair redress of grievances.

7.3 Terms of employment are clear, and compensation is adequate to ensure that the institution can attract and retain qualified administrators, faculty, and staff. The institution employs effective procedures for the regular evaluation of all personnel. The institution ensures sufficient opportunities for professional development for administrators, faculty, and staff.

Financial Resources

7.4 The institution preserves and enhances available financial resources sufficient to support its mission. It manages its financial resources and allocates them in a way that reflects its mission and purposes. It demonstrates the ability to respond to financial emergencies and unforeseen circumstances.

7.5 The institution is financially stable. Ostensible financial stability is not achieved at the expense of educational quality. Its stability and viability are not unduly dependent upon vulnerable financial resources or an historically narrow base of support.

7.6 The institution's multi-year financial planning is realistic and reflects the capacity of the institution to depend on identified sources of revenue and ensure the advancement of educational quality and services for students.

7.7 The governing board reviews and approves the institution's financial plans based on multi-year analysis and financial forecasting.

7.8 The board retains appropriate autonomy in all budget and finance matters; this includes institutions that depend on financial support from a sponsoring entity (state, church, or other private or public entity).

7.9 All or substantially all of the institution's resources are devoted to the support of its education, research, and service programs. The institution's financial records clearly relate to its educational activities.

7.10 The institution and its governing board regularly and systematically review the effectiveness of the institution's financial aid policy and practices in advancing the institution's mission and helping to ensure that the institution enrolls and supports the student body it seeks to serve.

7.11 The institution ensures that it has sufficient professionally qualified finance staff, led by a chief financial officer whose primary responsibility to the institution is reflected in the organizational chart.

7.12 The institution ensures the integrity of its finances through prudent financial management and organization, a well-organized budget process, appropriate internal control mechanisms, risk assessment, and timely financial reporting to internal and external constituency groups, providing a basis for sound financial decision-making.

7.13 The institution establishes and implements its budget after appropriate consultation with relevant constituencies in accord with realistic overall planning that provides for the appropriate integration of academic, student service, fiscal, development, information, technology, and physical resource priorities to advance its educational objectives.

7.14 The institution's financial planning, including contingency planning, is integrated with overall planning and evaluation processes. The institution demonstrates its ability to analyze its financial condition and understand the opportunities and constraints that will influence its financial condition and acts accordingly. It reallocates resources as necessary to achieve its purposes and objectives. The institution implements a realistic plan for addressing issues raised by the existence of any operating deficit.

7.15 Opportunities identified for new sources of revenue are reviewed by the administration and board to ensure the integrity of the institution and the quality of the academic program are maintained and enhanced. The institution planning a substantive change demonstrates the financial and administrative capacity to ensure that the new initiative meets the standards of quality of the institution and the Commission's Standards.

7.16 Institutional and board leadership ensure the institution's ethical oversight of its financial resources and practices.

7.17 The institution prepares financial statements in accordance with accounting principles generally accepted in the U.S. The annual audit is prepared by an auditor external to the institution in accord with generally accepted auditing standards adopted by the American Institute of Certified Public Accountants. Board policies and institutional practices ensure the independence and objectivity of the auditor and the appropriate consideration of the audit by the governing board. For institutions whose financial statements are included and audited as part of a larger system or corporation, the system or corporation financial statements disclose separate statements for the institution to support a determination regarding the sufficiency and stability of the institution's financial resources. In all cases, the audit and management letter are appropriately reviewed by the institution's administration and governing board who take appropriate action on resulting recommendations or conclusions.

7.18 The institution directs its fundraising efforts toward the fulfillment of institutional purposes and conducts them in accordance with policies that stipulate the conditions and terms under which gifts are solicited and accepted. The institution accurately represents itself and its capacities and needs to prospective donors and accurately portrays the impact that their gifts can reasonably be expected to have. Gifts are promptly directed toward donors' intentions.

7.19 All fiscal policies, including those related to budgeting, investments, insurance, risk management, contracts and grants, internal transfers and borrowing, fundraising, and other institutional advancement and development activities, are clearly stated in writing and consistently implemented in compliance with ethical and sound financial practices.

7.20 The institution has in place appropriate internal and external mechanisms to evaluate its financial status including fiscal condition, working capital, capital projects, cash flow requirements, and financial management. The institution uses the results of these activities for improvement and to maintain institutional integrity.

Information, Physical, and Technological Resources

7.21 The institution has sufficient and appropriate information, physical, and technological resources necessary for the achievement of its purposes wherever and however its academic programs are offered. It devotes sufficient resources to maintain and enhance its information, physical, and technological resources. (See also 4.10)

7.22 The institution provides access to library and information resources, services, facilities, and qualified staff sufficient to support its teaching and learning environments and its research and public service mission as appropriate.

7.23 Facilities are constructed and maintained in accordance with legal requirements to ensure access, safety, security, and a healthy environment with consideration for environmental and ecological concerns.

7.24 The institution's physical and electronic environments provide an atmosphere conducive to study and research.

7.25 The institution demonstrates the effectiveness of its policies and procedures in ensuring the reliability of its technology systems, the integrity and security of data, and the privacy of individuals. The institution establishes and applies clear policies and procedures and monitors and responds to illegal or inappropriate uses of its technology systems and resources. It has regularly updated disaster planning and recovery policies and procedures.

7.26 The institution uses information technology sufficient to ensure its efficient ability to plan, administer, and evaluate its program and services.

STANDARD EIGHT: EDUCATIONAL EFFECTIVENESS

The institution demonstrates its effectiveness by ensuring satisfactory levels of student achievement on mission-appropriate student outcomes. Based on verifiable information, the institution understands what its students have gained as a result of their education and has useful evidence about the success of its recent graduates. This information is used for planning and improvement, resource allocation, and to inform the public about the institution. Student achievement is at a level appropriate for the degree awarded.

8.1 The institution enrolling multiple student bodies, by degree level, location, modality, or other variables, develops and uses the data, evidence, and information below for each student body.

8.2 The institution provides clear public statements about what students are expected to gain from their education, academically and, as appropriate to the institution's mission, along other dimensions (e.g., civic engagement, religious formation, global awareness). Goals for students' education reflect the institution's mission, the level and range of degrees and certificates offered, and the general expectations of the larger academic community.

8.3 Assessment of learning is based on verifiable statements of what students are expected to gain, achieve, demonstrate, or know by the time they complete their academic program. The process of understanding what and how students are learning focuses on the course, competency, program, and institutional level. Assessment has the support of the institution's academic and institutional leadership and the systematic involvement of faculty and appropriate staff.

8.4 The institution with stated goals for students' co-curricular learning systematically assesses their achievement. (See also 5.8, 5.20)

8.5 The institution uses a variety of quantitative and qualitative methods and direct and indirect measures to understand the experiences and learning outcomes of its students, employing external perspectives including, as appropriate, benchmarks and peer comparisons.

8.6 The institution defines measures of student success and levels of achievement appropriate to its mission, modalities and locations of instruction, and student body, including any specifically recruited populations. These measures include rates of progression, retention, transfer, and graduation; default and loan repayment rates; licensure passage rates; and employment. (See also 2.2,5.6, 9.24)

8.7 The institution uses additional quantitative measures of success, such as further education, civic participation, religious formation, and others, as appropriate to its mission, to understand the success of its recent graduates. Information from students and former students is regularly considered. (See also 2.2, 9.24)

8.8 The results of assessment and quantitative measures of student success are a demonstrable factor in the institution's efforts to improve the learning opportunities and results for students.

8.9 The institution devotes appropriate attention to ensuring that its methods of understanding student learning and student success are valid and useful to improve programs and services for students and to inform the public.

8.10 The institution integrates the findings of its assessment process and measures of student success into its program evaluation activities and uses the findings to inform its planning and resource allocation and to establish claims the institution makes to students and prospective students. (See also 9.24)

STANDARD NINE: INTEGRITY, TRANSPARENCY, and PUBLIC DISCLOSURE

The institution subscribes to and advocates high ethical standards in the management of its affairs and in its dealings with students, prospective students, faculty, staff, its governing board, external agencies and organizations, and the general public. Through its policies and practices, the institution endeavors to exemplify the values it articulates in its mission and related statements. In presenting the institution to students, prospective students, and other members of the public, the institutional website provides information that is complete, accurate, timely, readily accessible, clear, and sufficient for intended audiences to make informed decisions about the institution.

Integrity

9.1 The institution expects that members of its community, including the board, administration, faculty, staff, and students, will act responsibly, ethically, and with integrity; and it systematically supports the pursuit thereof. Institutional leadership fosters an atmosphere where issues of integrity can be openly considered, and members of the institutional community understand and assume their responsibilities in the pursuit of integrity.

9.2 Truthfulness, clarity, and fairness characterize the institution's relations with all internal and external constituencies. Adequate provision is made to ensure academic honesty. Appropriate policies and procedures are in effect and periodically reviewed for matters including intellectual property rights, the avoidance of conflict of interest, privacy rights, and fairness in dealing with students, faculty, and staff. The institution's educational policies and procedures are equitably applied to all its students.

9.3 The institution is committed to the free pursuit and dissemination of knowledge. It assures faculty and students the freedom to teach and study, to examine all pertinent data, to question assumptions, and to be guided by the evidence of scholarly research.

9.4 The institution observes the spirit as well as the letter of applicable legal requirements. It has a charter and/or other formal authority from the appropriate governmental agency authorizing it to grant all degrees it awards; it has the necessary operating authority for each jurisdiction in which it conducts activities; and it operates within this authority.

9.5 The institution adheres to non-discriminatory policies and practices in recruitment, admissions, employment, evaluation, disciplinary action, and advancement. It fosters an inclusive atmosphere within the institutional community that respects and supports people of diverse characteristics and backgrounds.

9.6 The institution manages its academic, research and service programs, administrative operations, responsibilities to students, and interactions with prospective students with honesty and integrity.

9.7 The institution is responsible for all activities that are sponsored by the institution or carry its name. These activities are compatible with the institution's mission and are administered within

its organizational structure. The institution assumes responsibility for the appropriateness and integrity of such activities.

9.8 The institution has established and publicizes clear policies ensuring institutional integrity. Included among them are appropriate policies and procedures for the fair resolution of grievances brought by faculty, staff, or students.

9.9 The pursuit of institutional integrity is strengthened through the application of findings from periodic and episodic assessments of the policies and conditions that support the achievement of these aims among members of the institutional community.

9.10 In its relationships with the Commission on Institutions of Higher Education, the institution demonstrates honesty and integrity, and it complies with the Commission's Standards, policies, Requirements of Affiliation, and requests. It notifies the Commission regarding adverse events.

9.11 In addition to the considerations stated in this Standard, the institution adheres to those requirements related to institutional integrity embodied in all other Commission Standards.

Transparency

9.12 The information published by the institution on its website is readily accessible and sufficient to allow students and prospective students to make informed decisions about their education. The institution's public website includes the information specified elsewhere in this Standard (9.18-9.27).

9.13 The institution provides sufficient information to the public about its processes for admissions, employment, grading, assessment, student discipline, and the consideration of complaints and appeals.

9.14 The institution is responsive to reasonable requests for information about itself and informs the public about how inquiries can be addressed. The institution provides notice as to the availability of its most recent audited financial statement or a fair summary thereof.

9.15 All forms of print and digital communications officially representing the institution are consistent with catalogue content and accurately portray the conditions and opportunities available at the institution. Institutions ensure the availability of archival editions of catalogues, regardless of their format.

9.16 The institution has readily available valid documentation for any statements and promises regarding such matters as program excellence, learning outcomes, success in placement, and achievements of graduates or faculty.

9.17 Through a systematic process of periodic review, the institution ensures that its print and digital publications are complete, accurate, available, readily accessible, and current. The results of the review are used for improvement.

Public Disclosure

9.18 The institution's catalogue describes the institution consistent with its mission statement and sets forth the obligations and responsibilities of both students and the institution.

9.19 The institution publishes its mission, objectives, and expected educational outcomes; its status as a public or independent institution; if independent, its status as a not-for-profit or for-profit institution; any religious affiliation; requirements and procedures and policies related to admissions and the transfer of credit; a list of institutions with which it has articulation agreements; student fees, charges and refund policies; rules and regulations for student conduct; procedures for student appeals and complaints; other items related to attending or withdrawing from the institution; academic programs, courses currently offered, and other available educational opportunities; academic policies and procedures; and the requirements for degrees or other forms of academic recognition. (See also 4.38)

9.20 The institution publishes a list of its continuing faculty, indicating departmental or program affiliation, showing degrees held and the institutions granting them. The names and positions of administrative officers, and the names and principal affiliations of members of the governing board are also included.

9.21 The institution publishes the locations and programs available at branch campuses and other instructional locations, including those overseas operations at which students can enroll for a degree, along with a description of the programs and services available at each location.

9.22 The institution clearly indicates those programs, courses, services, and personnel not available during a given academic year. It does not list as current any courses not taught for two consecutive years that will not be taught during the third consecutive year.

9.23 The institution publishes a description of the size and characteristics of the student body, the campus setting, the availability of academic and other support services, the range of co-curricular and non-academic opportunities available to students, and those institutional learning and physical resources from which a student can reasonably be expected to benefit.

9.24 The institution publishes statements of its goals for students' education and the success of students in achieving those goals. Information on student success includes rates of retention and graduation and other measures of student success appropriate to institutional mission. If applicable, recent information on passage rates for licensure examinations is also published. (See also 8.6, 8.7, 8.10)

9.25 The institution publishes information about the total cost of education and net price, including the availability of financial aid and the typical length of study. The expected amount of student debt upon graduation and the institution's cohort default and loan repayment rates are published to help students and prospective students make informed decisions. (See also 5.14)

9.26 The institution ensures that when students, prospective students, or members of the public are interacting with an individual acting on behalf of the institution through a contractual or other written agreement, the relationship of that individual to the institution is clear.

9.27 The institution's statements about its current accredited status are accurately and explicitly worded. An institution placed on probation by the Commission discloses this status in all print and digital publications in which the institution's accreditation is mentioned.

CHAIRMAN OF THE JOINT CHIEFS OF STAFF INSTRUCTION

J-7
DISTRIBUTION: A, B, C, S

CJCSI 1800.01F
15 May 2020

OFFICER PROFESSIONAL MILITARY EDUCATION POLICY

References:
See Enclosure C

1. Purpose. This Instruction provides policy guidance for the Professional Military Education (PME) of officers in the Armed Forces of the United States, with particular emphasis on Joint PME (JPME). It assigns responsibilities, establishes Joint Learning Areas (JLAs), and provides instructions regarding oversight and execution of Officer JPME. The Chairman of the Joint Chiefs of Staff (CJCS) authority for this instruction is found in Federal law (reference a), wherein CJCS is responsible for "...formulating policies for coordinating the military education of members of the armed forces."

2. Superseded/Cancellation. CJCSI 1800.01E, 29 May 2015, is hereby superseded.

3. Applicability. This policy is applicable to the CJCS, Service Chiefs, Combatant Commanders (CCDRs), President of the National Defense University (NDU-P), the President of the National Intelligence University (NIU), and their staffs and components, and to PME programs that are accredited as JPME per statute and listed in this policy.

4. Vision. The PME vision for 21st Century Joint Leader Development is a fully aligned PME/Talent Management system that develops leaders who are skilled in the art of war and the practical and ethical application of lethal military power. The intent is the development of strategically minded joint warfighters who think critically and can creatively apply military power to inform national strategy, conduct globally integrated operations, and fight under conditions of disruptive change.

5. Policy. In accordance with applicable Federal law (reference b) and Defense Policy (reference c), it is CJCS policy that officer PME programs will:

a. Maintain a rigorous joint learning environment designed to promote a theoretical and practical in-depth understanding of jointness and evolving areas of interest.

b. Incorporate high-level Department of Defense (DoD) policy guidance to maintain a current and relevant curriculum that provides graduates with knowledge, skills, and abilities required to perform successfully across a competition continuum comprising armed conflict, competition below armed conflict, and cooperation in both traditional and irregular warfare (IW) contexts (references d and e).

(1) DoD policy (reference f) establishes that "IW strategically is as important as traditional warfare and that DoD must be equally as capable in both." References f, g, and h provide DoD guidance needed to assist JPME programs in IW curriculum development.

(2) The 2018 Nuclear Posture Review provides policy guidance to improve the common understanding of nuclear capabilities and concepts across the Joint Force through PME. References i and j provide PME institutions with assistance needed for curriculum development relating to nuclear matters.

c. Develop and adopt an outcomes-based military education (OBME) approach in the development, delivery, and assessment of curriculum.

d. Build on officer development learning outcomes achieved sequentially across a career from pre-commissioning through General/Flag Officer (GO/FO), elevating cognitive achievement at every level.

e. Align program assessments and officer academic evaluation reports with Services' and Combatant Commands' (CCMD) requirements for officer development.

f. Ensure that a highly-qualified faculty is maintained and student academic excellence is demanded and rewarded.

6. Responsibilities. Enclosure B describes responsibilities for program governance and execution in accordance with the policies promulgated in this policy.

7. Definitions. The glossary contains a list of key abbreviations and other terms employed in this instruction.

8. Summary of Changes. This revision supersedes CJCSI 1800.01E and denotes a significant change from past joint educational policies. it:

a. Shifts officer JPME to an OBME approach with emphasis on direct assessments of student achievement of program learning outcomes.

b. Adds requirements for JPME institutions to inform talent management decisions by identifying officers with high potential for strategic thinking.

c. Requires JPME programs to use JLAs and high-level guidance contained in this instruction to develop mission-unique program learning outcomes (PLOs).

d. Changes reaffirmation requirements under the Process for Accreditation of Joint Education (PAJE) to place greater emphasis on effectiveness in achieving JPME program outcomes.

e. Adds increased responsibilities for OBME oversight and execution for the Joint Staff, Service Chiefs, and CCMDs.

f. Incorporates legislative changes from the 2016 National Defense Authorization Act affecting non-resident delivery of JPME II.

9. Releasability. UNRESTRICTED. This directive is approved for public release; distribution is unlimited on NIPRNET. DoD components (to include Combatant Commands), other Federal agencies, and the public may obtain copies of this directive through the Internet from the CJCS Directives Electronic Library at http://www.jcs.mil/library. JS activities may also obtain access via the SIPR directives Electronic Library websites.

9. Effective Date. This INSTRUCTION is effective upon issuance.

For the Chairman of the Joint Chiefs of Staff:

GLEN D. VANHERCK, Lt Gen, USAF
Director, Joint Staff

Enclosures

A — Joint Professional Military Education Policy
B — Responsibilities
C — Requirements Documentation, Prioritization, and Risk Management Process
D — References
GL— Glossary

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OPR for the subject directive has chosen electronic distribution to the above organizations via E-mail. The Joint Staff Information Management Division has responsibility for publishing the subject directive to the SIPR and NIPR Joint Electronic Library Websites.

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ENCLOSURE A

JOINT PROFESSIONAL MILITARY EDUCATION POLICY

1. Overview. This enclosure provides CJCS policy for JPME as described in law and policy. It establishes officer PME objectives and JLAs for joint officer education and the Officer PME continuum, and articulates officer desired leader attributes (DLA). The policy further requires an OBME methodology, and provides guidance on learning areas, outcomes, and all facets of JPME, including students, faculty, delivery modes, and the educational requirements for Joint Officer Management (JOM). The policy also establishes a JPME review and evaluation process.

2. Statutory Requirements. JPME is a subset of PME and reflects a concentration on Joint matters, frequently offered in tandem with the delivery of Service-focused PME. JPME is defined in Federal law (reference b) as "...consisting of the rigorous and thorough instruction of officers in an environment designed to promote a theoretical and practical in-depth understanding of joint matters and specifically, of the subject matter covered." Specific subject matter for all JPME and additional matters for JPME II programs are included in Federal law.

a. All JPME Programs

(1) National military strategy.

(2) Joint planning at all levels of war.

(3) Joint doctrine.

(4) Joint command and control.

(5) Joint force and joint requirements development

(6) Operational contract support.

b. JPME-II Programs. Six items above in 2.a., plus:

(1) National security strategy.

(2) Theater strategy and campaigning.

(3) Joint planning processes and systems.

(4) Joint, interagency, and multinational capabilities and the integration of those capabilities

3. Joint and Service Perspectives. JPME provides the knowledge, skills, and abilities needed to enhance officer performance in Joint duties consistent with policy and legislative requirements for JOM, to include various levels of joint qualification and eligibility for GO/FO selection. Service and Joint PME institutions function as an integrated system with specified PME programs providing accredited JPME.

4. PME Outcomes. PME and JPME programs must provide graduates the knowledge and skills to prepare them for service as joint warfighting leaders, senior staff officers, and strategists who:

a. Discern the military dimensions of a challenge affecting national interest; frame the issue at the policy level; and recommend viable military options within the overarching frameworks of globally integrated operations.

b. Anticipate and lead rapid adaptation and innovation during a dynamic period of acceleration in the rate of change in warfare under the conditions of great power competition and disruptive technology.

c. Conduct joint warfighting, at the operational to strategic levels, as all-domain, globally integrated warfare, including the ability to integrate allied and partner contributions.

d. Are strategically-minded warfighters or applied strategists who can execute and adapt strategy through campaigns and operations; and

e. Demonstrate critical and creative thinking skills, interpersonal skills, and effective written, verbal, and visual communications skills to support the development and implementation of strategies and complex operations.

5. Desired Leader Attributes. PME contributes substantially to the achievement of CJCS-approved officer DLAs across the education and professional continuums.

a. The officer DLAs are knowledge and skill to:

(1) Understand the security environment and contributions of all instruments of national power.

(2) Respond to surprise and uncertainty.

(3) Recognize change and lead transitions.

(4) Operate on intent through trust, empowerment, and understanding (Mission Command).

(5) Make ethical decisions based on shared values of the profession of arms.

(6) Think critically and strategically in applying joint warfighting principles and concepts to joint operations.

b. DLAs are not achievable through education alone nor during a single learning event or academic year, but represent guideposts for long-term leader development.

c. JPME programs will use CJCS-approved DLAs to inform the development of PLOs (discussed below).

6. PME Continuum. The PME system is a progressive educational continuum guiding an officer's individual development over time. The continuum structures the development of Service and Joint officers by organizing PME into educational levels and linking those levels so that each builds on the experience, self-development, and learning mastered previously.

a. PME Levels. The continuum structures officer development into five formal military educational levels: precommissioning, primary, intermediate, senior, and GO/FO. In addition to these formal levels are multiple learning opportunities that are made available by the Services during an officer's career.

(1) Precommissioning. Military education programs producing commissioned officers with a basic awareness of military Services upon graduation.

(2) Primary. Entry level education received at grades O-1 through O-3 focused on specialized skills and tactical knowledge in Service-specific constructs with an introduction to Joint matters.

(3) Intermediate. Mid-career education received at grade O-4 that prepares officers to conduct operations and campaigns in Service-specific and Joint constructs.

(4) Senior. Education programs received at grades O-5 or O-6 that prepare officers to develop and implement military strategies with an emphasis on Joint operations and some attention to Service-specific contributions.

(5) General/Flag Officer. Education received at grade O-7 and above with emphasis on executive leadership in joint, interagency, intergovernmental and multinational (JIIM) environments.

b. Levels of War. The continuum portrays the focus of each educational level in relation to the tactical, operational, and strategic levels of war as outlined in Joint doctrine, especially as described in CAPSTONE Joint Doctrine (particularly JP 1, 2-0, 3-0, 4-0, 5-0, and 6-0). It recognizes that PME and JPME curricula educate across all levels of war (The Officer PME Continuum is shown at Figure A-1).

7. OBME Adaptation. Consistent with Office of the Secretary of Defense (OSD) Military Education policy (reference c), JPME programs will adopt an OBME methodology to focus curriculum development on CJCS-approved JLAs and to provide evidence of graduates' ability to frame, diagnose, and resolve problems in practice. In addition, OBME is intended to inform talent-management decisions through the identification of graduates with demonstrated high potential to perform successfully at higher levels of responsibility and authority.

a. OBME Guidance. OBME guidance is top-down and captured in a number of JLAs contained in Appendix A and based on Federal law and the most recent versions of the following key documents: The National Defense Strategy (reference k), National Military Strategy (reference l), and Capstone Concepts for Joint Operations (reference m). PME institutions at all levels of the PME Continuum will use JLAs as the broad categories of Joint knowledge to inform their curricula and meet the requirements for Joint officer education.

b. OBME Execution. JPME programs will use the following guidelines, along with best practices in OBME, to develop PLOs that will describe what JPME graduates are to know and be able to do at the conclusion of the program. The following guidelines apply to the development of PLOs:

(1) JPME programs will use the JLAs described in Appendix A to this Enclosure to develop PLOs that reflect their unique mission requirements.

(2) JPME programs will develop PLOs that reinforce mission requirements while achieving the CJCS intent for JPME.

(3) All JLAs will be addressed within the construction of a program's PLOs.

(4) Each JPME program will develop an assessment plan to show how each PLO will be assessed. To the greatest extent possible, OBME assessments will approximate conditions under which the graduate would be expected to achieve the same outcomes in the operational environment (hereafter referred to as authentic assessments).

(5) JPME programs will initiate formal adoption of OBME by submitting PLOs to Joint Staff J-7 for review prior to the development of formal assessment plans.

(6) JPME programs will use the annual report to notify Joint Staff J-7 of all changes to PLOs.

c. Special Areas of Emphasis. For the purpose of this Instruction, Special Areas of Emphasis (SAEs) will be promulgated by the CJCS to ensure that JPME programs remain current and relevant. SAEs are mandatory for JPME programs and the Joint Staff will ensure program compliance with SAE requirements via the annual reports and PAJE reviews. The following guidelines apply to SAEs:

(1) The SAEs respond to the emerging needs of the CJCS, the Joint Chiefs of Staff, CCDRs, and the Joint Staff regarding curriculum relevancy.

(2) SAEs may be nominated from across DoD and will be shaped for CJCS approval in a process organized by the Joint Staff J-7. As part of the nomination process, it is the proponent's responsibility to develop and recommend program learning outcomes for each SAE and JPME level, and to develop and recommend lesson guides and supporting educational packages (both for resident and non-resident education) for each SAE and JPME program level.

(3) Current and proposed SAEs will be reviewed annually by the Joint Faculty Education Conference, which is comprised of representatives from Joint PME colleges/schools.

(4) Before a new SAE list is submitted for approval to CJCS, it will be presented to the Military Education Coordination Council (MECC).

(5) JPME programs will address SAEs for two academic years (AY) following their publication.

(6) SAEs approved within 30 days of the commencing AY will be addressed for two years beginning in the following year.

(7) SAEs do not require changes to PLOs. If feasible, they can be addressed within existing lessons or through centralized presentations.

(8) The maximum number of SAEs shall be no greater than five.

8. JPME Reviews and Evaluations. JPME effectiveness will be evaluated over a 6-year cycle with emphasis on the performance of JPME graduates in operational assignments. JPME programs will be certified (accredited) under the CJCS-approved PAJE administered by the Joint Staff J-7.

a. Accreditation. The PAJE under OBME will focus on two areas: compliance with statutory and policy requirements and effectiveness in achieving PLOs. JPME programs will be certified for a period of up to six years. PAJE standards are described in Appendix C of this Enclosure. Annex A to Appendix B to this Enclosure describes the list of JPME programs accredited at the publishing date of this Instruction.

b. Program Evaluations. The Joint Staff J-7 will prepare an annual evaluation report to advise OSD on the overall effectiveness of JPME programs in achieving program outcomes. The report will be based on the following data sources:

(1) Annual JPME Accreditation Report. JPME programs will notify the Joint Staff J-7 in an annual accreditation report of any substantive change that could affect accreditation or changes in PLOs and assessment plans. If there are no substantive changes, a negative report is required ("no substantive changes to report").

(2) Biennial Assessment Report. Biennial assessment reports offer a method for JPME institutions to feature best practices in authentic assessments for sharing across the JPME community. JPME programs will submit a report to the Joint Staff J-7 every two years that provides data regarding student achievement of PLOs. The biennial assessment report will also include information about how assessment results are used for continuous improvement of the program and the student learning experience.

(3) Stakeholder Feedback. The Joint Staff J-7 will assemble periodically a team of assessment experts from across the Services, OSD, and

the education community to interview JPME graduates and stakeholders. The following guidelines will apply to stakeholder engagement and feedback.

(a) The Joint Staff J-7 will commission studies and stakeholder surveys as required to advise the CJCS and Secretary of Defense (SecDef) on the effectiveness of program outcomes to meet stakeholder requirements.

(b) As an element of their assessment plan, each JPME program will periodically survey stakeholders and graduates to assess the performance of their JPME graduates and identify gaps in program outcomes.

(c) The Joint Staff J-7 will periodically survey select senior officers, and, as appropriate, their civilian counterparts, on whether JPME graduates are performing effectively at the appropriate level and with requisite knowledge to perform in Joint duty assignments.

9. JPME Students. The following section provides policy guidance regarding JPME students.

a. Intent. To gain the greatest return on investment, Services should assign the best talent to the most appropriate JPME program and then sequence that talent toward the appropriate (given the program of study) assignments. It is essential to base officer attendance to JPME program attendance on his/her talent, potential for strategic responsibilities, and return on investment for DoD. In addition, it is essential that officers with the highest potential for promotion to warfighting GO/FO who will lead the Joint Force attend a 10-month War College resident program. PME resident programs should consider tools such as entrance examinations, applications, or screening criteria to assess students' abilities to contribute to and succeed in a peer, seminar-based Joint learning environment.

b. Military JPME Students (Resident Programs). The Military Services will:

(1) Identify and assign to JPME programs the highest quality officers at the appropriate rank as identified in the JPME continuum.

(2) Assign officers to the appropriate JPME program as part of a coherent design intended to leverage previous developmental and operational experience to ensure officers are fully prepared to succeed in their future career tracks.

(3) When selecting students to attend the JPME programs, prioritize sending students who represent the core warfighting capabilities of the providing Service.

(4) Ensure Service intermediate-level education (ILE) (O-4s and equivalent) programs have a proportional U.S. military officer student body mix from each non-host Military Department.

(5) For Service ILE,, SLE, and NIU JPME seminars, maintain the JPME seminar-student mix of at least one U.S. military officer from each of the three Military Departments.

(6) Ensure Service senior-level educational (SLE) (O-5/6 and equivalent) programs have a U.S. military officer mix of no more than 60 percent of the total student body representing host Military Department (officer) students with the remaining non-host Military Departments proportionately represented (reference b). The total student body consists of attending U.S. military officer, civilian, and international officer students.

(7) For NDU JPME seminars, ensure U.S. military student mix is one third for each Military Department.

c. Civilian Students. DoD policy (reference c) provides guidance for the participation of civilian students in PME programs.

(1) JPME programs will solicit nominations of civilian students at the appropriate career level. Programs will assess the appropriateness of the number and qualifications of civilian students vis-a-vis the relevant Joint, Service, and interagency needs and program mission.

(2) Upon receipt of civilian student nomination packages, JPME programs will ensure all admitted students have appropriate academic and professional backgrounds required for graduate-level military education.

(3) JPME programs will liaise directly with Federal agencies on civilian enrollment and/or exchange programs to meet the intent of this instruction.

d. International Students. DoD policy (reference c) provides guidance for the participation of International students in PME programs.

(1) PME institutions programs will promote participation of international military students (IMS) in JPME programs.

(2) JPME programs will integrate allies and key U.S. and international partners in a learning environment where professionalism, trust, and cognitive interoperability are valued.

(3) All PME programs will ensure that IMS participation is consistent with relevant security considerations and appropriate directives and guidance, to include the "Annual Countries of Emphasis Memorandum" (reference n) and the "CJCS International Professional Military Education Strategy" (reference o). In addition, all PME programs will employ emerging DoD guidelines (reference p) to ensure that IMS vetting procedures for screening foreign students and granting access to our bases are closely aligned with procedures applied to U.S. personnel.

10. JPME Faculty. The recruitment, selection, development, and management of a highly qualified civilian and military faculty must be a top priority for institutional leaders.

a. Intent. The selection, development, and management of PME faculty, and military faculty in particular, is at the core of successful programs. Accordingly, JPME programs will ensure that military and civilian faculty members are highly qualified instructors and are current in the fields they are teaching. As such, Services should implement the full array of talent management programs to incentivize faculty assignments that are competitive, career enhancing, and professionally rewarding while meeting JPME requirements for diversity of skills and Service culture across the military faculty. Military officers bring to the JPME faculty an invaluable operational currency and expertise. A significant portion of each program/military education institution (MEI) will be military officers.

b. Faculty Mix. For the purposes of this Instruction, faculty are military and civilian personnel assigned to a JPME institution or program who, as determined by the institution/program, teach, prepare, or design JPME curricula, conduct research relevant to JPME, or directly supervise those who do. Services will ensure an appropriate faculty mix for Service ILE and SLE programs.

(1) Service ILE programs. Total host Military Department faculty should have the diversity of skills and backgrounds to ensure a rigorous Joint learning experience and a mix of not less than 5 percent military faculty from each non-host Military Department.

(2) Service SLE programs. Total host Military Department faculty should have the diversity of skills and backgrounds to ensure a rigorous Joint

learning experience and comprise no more than 60 percent of the total military faculty. The remainder of the faculty members should be proportionally divided among each non-host Military Department.

(3) NDU and NIU programs. Military faculty representation is approximately proportional among the three Military Departments.

(4) Where a single faculty is indistinguishably responsible for both intermediate and senior JPME curriculum, total host Service military faculty shall be no more than 60 percent of the total military faculty whose primary duty is student instruction of JPME. The two Military Departments not affiliated with the host Service will be proportionately represented.

(5) Services should assign highly qualified officers with recent joint experience who meet the following JPME minimum requirements:

(a) Intermediate-Level Education. Seventy-five percent of the military faculty should be graduates of an in-resident ILE or SLE JPME program or be designated as joint qualified officers (JQO).

(b) Joint and Combined Warfighting School. All military faculty will be graduates of a JPME II program and possess a master's degree or higher from a regionally accredited educational institution (or equivalent).

(c) Senior-Level Education. Seventy-five percent of the military faculty should be graduates of a JPME-II program or resident SLE and possess a master's degree or higher from a regionally accredited educational institution (or equivalent).

d. Civilian Faculty. Civilian academics and interagency representatives play invaluable roles in JPME. The academic rigor and whole-of-government insight they provide is vital to the intellectual development of the Joint officer corps. Regarding civilian faculty:

(1) The Services, NDU, and NIU will determine the appropriate number of civilians on their respective college faculties.

(2) Civilian faculty members should have relevant, strong academic records and/or extensive relevant professional experience.

e. Single Faculty. In PME institutions where a single faculty is indistinguishably responsible for both ILE and SLE curriculum, 75 percent of the military faculty should be graduates of a JPME-II program or resident SLE.

11. CJCS Chairs. CJCS Chairs provide a critical, direct link between the Joint Staff and JPME teaching faculty to ensure that jointness is maintained across JPME curricula. The following guidelines apply to CJCS Chairs.

a. CJCS chairs will be military faculty of appropriate rank, assigned to the college they represent, a designated JQO, have recent joint operational experience, and be capable of contributing insight into Joint matters to the faculty and student body.

b. Each NDU JPME college will establish a CJCS Chair.

c. CJCS Chairs are optional, yet strongly encouraged, in Service-delivered JPME programs.

d. The CJCS Chairs come from authorized military faculty positions.

e. Nomination process. CJCS Chairs will be nominated by the heads of the specific JPME programs to the Joint Staff Director for Joint Force Development, J-7 (DJ-7), who will prepare the nomination for CJCS decision.

f. Upon approval, CJCS Chairs will be entitled "CJCS Professor of Military Studies."

12. Student-to-Faculty Ratios. Student-to-faculty-ratios (STFR) serve as a proxy measure of education quality in relation to student throughput. The focus is on faculty whose full-time role is to have direct academic interactions with students and/or their JPME program as it supports OBME. Therefore, only faculty whose duties primarily concern teaching, preparing, or designing PME curricula will be counted as faculty for computing student-to-faculty ratios. All JPME programs will use the following STFR guidelines:

a. Intermediate-Level Education. Resident programs will adhere to a STFR of 4.0:1.

b. Joint and Combined Warfighting School. Resident program will adhere to a STFR of 4.0:1.

c. Senior-Level Education. Resident programs will adhere to a STFR of 3.5:1.

d. Single-faculty. In JPME institutions where a single faculty is indistinguishably responsible for both ILE and SLE JPME curricula, there must be sufficient faculty to meet both the ILE and SLE student-to-faculty ratios.

e. CAPSTONE and non-resident JPME programs. STFRs do not apply.

13. Delivery Modes. JPME may be delivered in a variety of modes (resident, distance education, satellite, and hybrid).

a. A JPME program with multiple delivery modes must have the same program learning outcomes.

b. PME programs will incorporate active and experiential learning to develop the practical and critical thinking skills warfighters require. These methodologies include use of case studies grounded in history to help students develop judgment, analysis, and problem-solving skills, which can then be applied to contemporary challenges, including war, deterrence, and measures short of armed conflict.

c. OBME encourages the use of live, virtual, constructive, and gaming methodologies with wargames and exercises involving multiple sets and repetitions to achieve PLOs.

14. Educational Requirements for Joint Officer Management. Statutory educational requirements for JOM are described in Federal law (reference q). JOM policy (references r and s) stipulates the following requirements.

a. Joint Qualified Officers. An officer who has successfully completed CJCS-accredited JPME I and II programs and has been awarded joint credit for serving in a designated joint billet may be awarded Joint Qualification Level III and formally designated a "Joint Qualified Officer" (JQO L-III).

b. Direct Entry Waivers. U.S. military officers should complete JPME Phase I as a pre-requisite for admission into a JPME Phase II program. Attendance at JPME Phase II prior to completion of JPME Phase I requires approval of a Direct Entry Waiver (DEW) by the CJCS (see references r and s for DEW approval requirements).

c. Outplacement of NDU Graduates. In accordance with reference b, the following outplacement requirements apply to JPME II graduates of the NDU programs:

(1) Joint Qualified Officers. Upon graduation, each designated officer on the Active Duty List (ADL) who is JQO shall be immediately assigned to a Joint duty assignment. To the extent practicable, this also applies to Reserve Component (RC) graduates not on the ADL.

(2) Other Officers. More than half of ADL non-JQO graduates of an NDU JPME II program are assigned to a Joint duty assignment immediately following graduation. Up to half of the officers subject to this requirement may be assigned to a Standard-JDA as their second (rather than first) assignment following graduation. To the extent practicable, this policy also applies to RC graduates not on the ADL.

(3) Joint Advanced Warfighting School Outplacement and Assignment. The Services will ensure that Joint Duty Assignment List (JDAL) positions aligned by CCMD, Joint Staff, or the Joint Enabling Capabilities Command (JECC) as presented in the annual NDU student Size and Composition Plan are always filled by a Joint Advanced Warfighting School (JAWS) graduate or acceptable substitute. Substitutes must be endorsed by the gaining CCMD, Joint Staff, or JECC. The Director, Joint Staff is the approval authority for waivers to this policy.

15. Military Education Coordination Council. To assist in the execution of this policy, the MECC is established under the chairmanship of the DJ-7. The MECC serves as an advisory body to the DJ-7 on Joint education issues, and consists of the MECC principals and a supporting MECC Working Group (MECC WG).

a. Purpose. The purpose of the MECC is to address key educational issues of interest to the joint education community, promote cooperation and collaboration amongst the MECC member institutions, and coordinate joint education initiatives.

b. MECC Principals. The MECC principals are the DJ-7 and the Presidents, Commandants, Chancellors, and Directors of the Joint and Service universities and colleges accredited for JPME delivery (see Annex A to Appendix B to this Enclosure for accredited JPME programs). The DJ-7, as Chairman of the MECC, may invite representatives from other commands and organizations as appropriate.

c. MECC Meetings. The MECC will convene at least once annually.

d. MECC WG. The MECC WG is comprised of the Provost and Dean-level/O-6 representatives of the MECC Principals. The Chief, J-7 Joint

Education and Doctrine (JEDD), chairs the MECC WG. The MECC WG Chair may invite representatives from other commands and organizations as appropriate. The MECC WG performs the below functions.

(1) Supports the MECC Principals' meetings, to include developing agendas, preparing papers and briefings, and documenting and disseminating meeting results.

(2) Supports MECC-supported initiatives, to include the formation of subgroups as may be required.

(3) Promotes collaboration and cooperation among MECC institutions by serving as a forum to address items of mutual interest.

(4) Meets twice yearly, with one meeting in advance of a MECC Principals' session. The MECC WG may meet more often, if required.

16. Policy Reviews. As required by Joint Staff policy (reference t), the Joint Staff J-7 will initiate a thorough review of this policy every five years or as otherwise deemed appropriate to ensure that high-level guidance to JPME programs remains current and relevant. This review will involve the Joint Staff, the Services, CCMDs, PME institutions, and other affected agencies. This review must ensure that JPME programs continue to meet the needs of the organizations that employ JPME graduates.

EDUCATION ↓	CADET/MIDSHIPMAN PRECOMMISSIONING	O-1/O-2/O-3 PRIMARY	O-4 INTERMEDIATE	O-5/O-6 SENIOR	O-7/O-8/O-9 GENERAL/FLAG
EDUCATIONAL INSTITUTIONS AND COURSES	SERVICE ACADEMIES ROTC OCS/OTS	• BRANCH WARFARE OR STAFF SPECIALTY SCHOOLS • PRIMARY-LEVEL PME COURSES	• Air Cmd and Staff College • Army Cmd and Gen'l Staff College • College of Naval Cmd and Staff •Marine Corps Cmd and Staff College	• Air War College • Army War College • College of Naval Warfare • Marine Corps War College • Eisenhower School • National War College • JFSC: Jt & Combined Warfighting School, AJPME • JFSC: Jt Advanced Warfighting	• CAPSTONE • Jt Functional Component Cmdr Courses • SJIOAC • JFOWC • PINNACLE
LEVEL OF WAR EMPHASIZED	Conceptual Awareness of all Levels	TACTICAL	OPERATIONAL	STRATEGIC	
FOCUS OF MILITARY EDUCATION	• Intro to Service Missions • U.S. Constitution • U.S. Gov't	• Assigned Branch of Staff Specialty • Domain Knowledge (Land, air, sea, space & cyber)	• Warfighting w/in context of Op Art • Intro to Theater Strategy, Plans, NMS, NSS • Op Art in All Domains	• Svc Schools: Strategic Leadership, NMS, Theater Strategy • NWC: NSS • Eisenhower: NSS w/emphasis on resource components •All: Interagency; Multi-nat'l Ops; Cross-Domain Ops at Nat'l Strategic Level	• Jt Matters & Nat'l Security • Interagency Process • Multinat'l Ops
CAREER-LONG DEVELOPMENT	LIFE-LONG LEARNING SKILLS/SELF-DEVELOPMENT/ADVANCED EDUCATION CULTURAL EDUCATION: FROM AWARENESS TO COMPETENCE				
JOINT EMPHASIS	Joint Introduction • Nat'l Military Capabilities (in all domains) & Organization • Foundations of Joint Warfare	Joint Awareness • Joint Warfare/Cross Domain Fundamentals • Joint Campaigning • Operational Adaptability	JPME Ph I • Nat'l Mil Capabilities Cmd Structure & Strategic Guidance • Jt Doctrine & Concepts • Jt & Multinat'l Forces at Operational Level of War • Jt Planning and Execution Process • Jt C2--emphasis on Mission Cmd •Operational Adaptability	JPME Ph II • NDS, NSS & NMS • Jt Warfare, Theater Strategy/Campaigning in Jt, IA, Intergov't & Multi-Nat'l Envirnt • Nat'l & Jt Planning Systems and Processes • Integration of Jt, IA, Intergov't & Multinat'l Capabilities • Design • Strategic Adaptability JCWS	CAPSTONE • NSS • Jt Op Art • Jt Func Component CC courses & JFOWC • NSS • Nat'l Planning Systems & Org • Theater Strategy, campaigning and mil ops in Jt, IA, Intergov't & Multinat'l Environments • IO PINNACLE
DESIRED LEADER ATTRIBUTES	1. UNDERSTANDING SECURITY ENVIRONMENT AND INSTRUMENTS OF NATIONAL SECURITY 2. ANTICIPATING AND RESPONDING TO SURPRISE AND UNCERTAINTY 3. ANTICIPATING AND RECOGNIZING CHANGE AND LEADING TRANSITIONS 4. OPERATING IN INTENT THROUGH TRUST, EMPOWERMENT, AND UNDERSTANDING 5. MAKING ETHICAL DECISIONS BASED ON THE PROFESSION OF ARMS 6. THINKING CRITICALLY/STRATEGICALLY AND APPLYING JOINT WARFIGHTING PRINCIPLES AT ALL LEVELS OF WARFARE				

Figure A-1 – OFFICER PROFESSIONAL MILITARY EDUCATION CONTINUUM

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APPENDIX A TO ENCLOSURE A

OUTCOMES-BASED MILITARY EDUCATION POLICY GUIDELINES

1. Introduction. This annex describes JLAs and guidance PME institutions need to develop JPME PLOs.

2. Guidance. JLAs represent CJCS-approved knowledge areas required to develop warfighting expertise over a continuum of PME development. JLAs are based on high-level guidance and provide JPME programs with a building-block approach for designing, developing, and delivering education necessary to become a JQO.

3. Joint Learning Areas. JPME programs will use the JLA descriptions below as CJCS direction regarding the joint knowledge to be mastered over a continuum of learning. Pre-commissioning and primary institutions should use JLA descriptions as CJCS recommendations for instilling Joint education early in officer development. Requirements for outcomes development and attainment at pre-commissioning and primary levels are determined by Service Chiefs in coordination with the CJCS.

a. JLA 1 – Strategic Thinking and Communication. Joint officers demonstrate advanced cognitive and communications skills employing critical, creative, and systematic thought. They evaluate alternative perspectives and demonstrate the ability to distinguish reliable from unreliable information to form reasoned decisions. They persuasively communicate on behalf of their organizations with a wide range of domestic and foreign audiences. Via their communication, they synthesize all elements of their strategic thinking concisely, coherently, and comprehensively in a manner appropriate for the intended audience and environment.

b. JLA 2 – The Profession of Arms. Joint officers are first and foremost members of the profession of arms, sworn to support and defend the Constitution, with specialized knowledge in the art and science of war. They demonstrate joint-mindedness and possess a common understanding of the values of their chosen profession demonstrated through the exercise of sound moral judgement and the embodiment and enforcement of professional ethics, norms, and laws. They apply the principles of life-long learning and demonstrate effective joint leadership and followership.

c. JLA 3 – The Continuum of Competition, Conflict, and War. Joint officers are experts in the theory, principles, concepts, and history specific to sources of national power, the spectrum of conflict, and the art and science of

warfighting. They apply their knowledge of the nature, character, and conduct of war and conflict, and the instruments of national power, to determine the military dimensions of challenges to U.S. national interests, evaluating the best use of the military instrument across the full spectrum of conflict to achieve national security objectives.

d. JLA 4 – The Security Environment. Joint officers effectively and continuously assess the security implications of the current and future operational environment. Using appropriate inter-disciplinary analytical frameworks, they evaluate historical, cultural, political, military, economic, innovative, technological, and other competitive forces to identify and evaluate potential threats, opportunities, and risks.

e. JLA 5 – Strategy and Joint Planning. Joint officers apply a knowledge of law, policy, doctrine, concepts, processes, and systems to design, assess, and revise or sustain risk- and resource-informed strategies and globally integrated, all-domain joint plans across the spectrum of conflict. They demonstrate broad understanding of joint, interagency, intergovernmental, and multinational capabilities and policies to inform planning. They envision requisite future capabilities and develop strategies and plans to acquire them. They use strategy and planning as primary tools to develop viable, creative options for policy makers. In so doing, they position the United States to achieve national objectives across the full spectrum of conflict.

f. JLA 6 – Globally Integrated Operations. Joint officers creatively apply U.S., allied, and partner military power to conduct globally integrated, all-domain operations and campaigns. They exercise intellectual agility, demonstrate initiative, and rapidly adapt to disruptive change across all domains of competition, conflict, and war. They do so consistent with law, ethics, and the shared values of the profession of arms in furtherance of U.S. national objectives.

APPENDIX B TO ENCLOSURE A

JPME PROGRAMS AND MISSIONS

1. General. All JPME programs accredited at the release of this Instruction are described in this Appendix along with missions and program descriptions. The missions and program descriptions provided in this appendix should be used by talent managers across the DoD and interagency to inform decisions regarding which student is assigned to which college or program.

2. JPME Phase I Programs/Intermediate Level Education. ILE prepares field grade officers of all Services (primarily O-4s and O-4 selects), international officers, and U.S. civilians to assume positions of higher responsibility within the military and other government agencies. JPME programs at the ILE level will develop JPME I outcomes that prepare graduates to perform effectively in staff positions and support their senior leaders.

a. Air Command and Staff College

(1) Mission. Educate and develop air-minded joint leaders.

(2) Program Description. The Air Command and Staff College (ACSC) is the Air Force's intermediate PME institution. ACSC teaches the skills necessary to conduct air, space, and cyberspace operations in support of joint warfighting and multi-domain campaigns. ACSC also strives to mold tomorrow's leaders and squadron commanders to anticipate, adapt, and respond to complex operational environments by inspiring lifelong learning and leadership excellence in the profession of arms. ACSC provides three intermediate-level JPME programs.

(a) Master of Military Operational Art and Science—Resident. The Master of Military Operational Art and Science—Resident (MMOAS-R) is the Air Force's in-residence intermediate PME degree program. The MMOAS-R prepares field grade officers of all Services (primarily O-4s and O-4 selects), international officers, and U.S. civilians to assume positions of higher responsibility within the military and other government agencies.

(b) Master of Military Operational Art and Science—Online. The Master of Military Operational Art and Science—Online (MMOAS-DL) is the Air Force's online intermediate PME degree program. The Online Master's Program is designed to produce more effective officers serving in operational-level command or staff positions. The program fosters the development of higher-

order thinking by challenging students to think critically about applying airpower in a Joint context at the operational level of war.

(c) Distance Learning PME. The Distance Learning PME 6.0 is the Air Force's online intermediate PME non-degree program. The Distance Learning 6.0 Program is designed to produce more effective field grade officers serving in operational-level command or staff positions. The program emphasizes applying airpower in a Joint context and the operational art of war. Students explore national security issues, strategy and war theory, airpower history and theory, Expeditionary Air Force employment concepts, and the capabilities and limitations that the U.S. Air Force and its sister Services contribute to Joint force commanders.

b. Army Command and General Staff College

(1) Mission. Educate, train, and develop leaders for Unified Land Operations in a JIIM operational environment; and advance the art and science of the profession of arms in support of Army operational requirements. The mission of the Command and General Staff School (the intermediate-level program of the Command and General Staff College (CGSC)) is to educate and train field grade level leaders to be agile, innovative, and adaptive leaders who think critically, communicate effectively, can build teams, and lead organizations under mission command to conduct land operations in Unified Action while in complex and uncertain environments.

(2) Program Description. The Command and General Staff Officers Course (CGSOC)—developed and delivered by CGSC—consists of both resident and non-resident options. CGSOC learning objectives align with JPME requirements under title 10, U.S. Code, section 2151.

(a) The ten-month resident course consists of the Common Core (CC) and the Advanced Operations Course, as well as an elective program.

(b) The non-resident option consists of only the CC and a branch-specific or functional area-specific credentialing course.

(c) The CGSOC CC assists junior majors and senior captains' move from a tactical-level focus to an operational-level perspective. It provides graduates with the skills, knowledge, and attributes to adapt and dominate in Unified Land Operations in a range of operational environments. In addition to strategy, operations and tactics, logistics, and force management, CC areas of study include history, politics, leadership, and the human dimension.

c. Marine Corps Command and Staff College

(1) Mission. Provide graduate-level education and training in order to develop critical thinkers, innovative problem solvers, and ethical leaders. Marine Corps Command and Staff College (MCCSC) graduates will serve as commanders and staff officers with Marine Air Ground Task Forces (MAGTF), Service, and JIIM organizations confronting complex and uncertain security environments.

(2) Program Description. MCCSC provides PME to Marine Corps field grade officers, Joint and multinational field grade officers, and interagency professionals based on a curriculum accredited by the PAJE and the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC). MCCSC students have the opportunity to earn a regionally accredited Master of Military Studies degree.

(a) MCCSC in-residence program seeks to open the minds of its learners to foster creative problem solving based on critical thinking, ethical ideals, and thorough analyses. Graduates are knowledgeable in the art and science of warfare, specifically historical and contemporary warfare theories, international security studies, operational art and design, small wars, and amphibious operations.

(b) The Command and Staff College Distance Education Program provides operational-level professional military education to Marine Corps field grade officers, limited duty officers, chief warrant officers, and joint and multinational field grade officers. Every graduate is expected to more effectively plan and operate within the MAGTF to meet the needs of the Marine Corps and CCDRs.

d. College of Naval Command and Staff

(1) Mission. Educate and develop leaders.

(2) Program Description. The College of Naval Command and Staff (CNC&S) provides current, rigorous, and relevant intermediate JPME supporting the CJCS OPMEP and the Navy's PME Continuum. This program meets the standards required in law and policy and is accessible to the maximum number of qualified U.S. and international officers and civilian employees of the U.S. Government. The education fosters an active and growing community of future leaders who have trust and confidence in each other and are operationally and strategically minded critical thinkers proficient

in Joint matters. Graduates are skilled Naval and joint warfighters prepared to meet the operational and strategic challenges of today and tomorrow.

(a) The CNC&S is a ten-month intermediate-level resident PME program, which meets the statutory requirements for JPME I and is designed to produce broadly educated leaders who possess an operational and strategic perspective. Students apply disciplined, strategic-minded, critical thinking to challenges in multi-Service, multi-agency, and multinational environments. Graduates are able to act as operational planners and joint warfighters who are effective maritime spokespersons. As a graduate program, the curriculum emphasizes critical thinking and reasoning skills rather than the absorption of facts. There is time provided for students to read and think on the subject matter. The majority of the curriculum is delivered in seminars based on the Socratic Method and experiential learning where students are expected to actively participate in the sharing of ideas.

(b) College of Distance Education. The Naval War College's College of Distance Education (CDE) educates and develops leaders unable to participate in a traditional residential program. CDE delivers intermediate-level joint professional military education through a variety of delivery methodologies, all of which meet the statutory requirements for JPME I and are designed to produce broadly educated leaders who possess an operational and strategic perspective. Students apply disciplined, strategic-minded, critical thinking to challenges in multi-Service, multi-agency, and multinational environments. Graduates are able to act as operational planners and joint warfighters who are effective maritime spokespersons. As a graduate-level program, the curriculum emphasizes critical thinking and reasoning skills.

e. National Intelligence University

(1) Mission. Advance the intelligence profession through a holistic, integrative, contextual approach to education that promotes dynamic teaching, engaged learning, original research, academic outreach, analytical problem solving, rigorous research methods, collaborative processes, and lifelong learning.

(2) Program Description. NIU is a Federal, degree-granting institution authorized by Congress to offer accredited graduate and undergraduate degrees and graduate certificates. While pursuing their graduate degree, select qualified students may also participate in the JPME Studies Program and receive JPME I credit upon graduation.

3. JPME Phase II Programs/Senior-Level Education. JPME programs at SLE institutions will develop program learning outcomes that prepare officers of all Services (primarily O-5s and O-6s), international officers, and U.S. civilians to assume positions of higher responsibility at the strategic level.

a. Joint Forces Staff College/Joint and Combined Warfighting School (Resident, Satellite, and Hybrid). Joint and Combined Warfighting School (JCWS) Resident and Satellite programs are 10-week JPME II programs targeted at officers at the O-4 to O-6 level who have not attended SLE. JCWS Hybrid is a 40-week program with 3 weeks resident and 37 weeks of distance education.

(1) Mission. JCWS educates national security professionals to plan and execute JIIM operations. Graduates are critically thinking, operationally minded, skilled joint warfighters who can operationalize national, military, and theater security strategies into design-informed operational plans. Graduates have a primary commitment to JIIM teamwork, attitudes, and perspectives.

(2) Program Description. JCWS offers JPME Phase II to officers to prepare them for joint qualification, to meet Service talent management requirements, and to ensure joint commands and agencies are staffed with officers prepared to execute the mission of these commands. Senior enlisted members assigned to, or enroute to, key advisor positions in joint commands and agencies also are eligible to attend JCWS. JCWS instructs students on the integrated strategic deployment, employment, sustainment, and redeployment of Joint forces. The school accomplishes this through simulations, exercises, and case studies in a joint seminar environment. JCWS fosters a mutual understanding and rapport that develops when students from all Services share and challenge the ideas, values, and traditions of their Services and learn to plan jointly to solve national security challenges through the skilled application of diplomatic, economic, military, and informational means. The Phase II program at JCWS builds on the foundation established by the institutions teaching JPME Phase I. Faculty and student interaction in the fully joint environment of the JFSC fosters acculturation as a key aspect in preparing these officers and senior enlisted members to serve knowledgeably and proficiently on a joint staff. The JCWS graduate will be able to lead joint planning efforts, integrate the creativity of operational art with the analytical and logical process of operational design, and be proficient with the Joint Planning Process as the application framework to develop theater strategies and operational plans in a complex global operating environment.

b. Joint Forces Staff College/Joint Advanced Warfighting School

(1) Mission. JAWS produces joint operational artists fully prepared to serve as senior planners, joint leaders, and advisors at OSD, the Joint Staff, or a four-star CCMD/Sub-Unified Command. The graduates are historically informed, strategically minded, skilled joint warfighters. They are critical and creative thinkers who expertly translate strategic decisions to operational and tactical actions through design-informed operational planning.

(2) Program Description. JAWS provides the CCMDs/Sub-Unified Commands with planners who are expert in joint planning, capable of critical analysis in the application of all aspects of national power across the full range of military operations, and capable of synergistically combining existing and emerging capabilities in time, space, and purpose to accomplish a range of operational or strategic objectives. It is the only institution that has at its core purpose to produce officers who are masters at planning the employment of joint forces at the operational level of war. JAWS graduates gain both the intellectual and practical skills that make them confident practitioners of joint warfare at the operational-strategic nexus. They are capable of building and leading effective joint, interagency/inter-organizational, intergovernmental, and multinational teams. They possess the ability, in either a command or staff position, to design, direct, coordinate, and execute military plans across the operational continuum in a joint and interagency environment in a multinational setting. The JAWS mission demands a rigorous curriculum. Three core Fields of Study—Foundations in Theory and History, Strategy, and Operational Art and Campaign Planning—provide the developmental framework. JAWS Synthesis provides the students the opportunity to discover the linkages among the other courses. The modules and courses are carefully woven together with key thematic questions to demonstrate the relationships between the subjects and improve student learning. Student individual research, analysis, and writing comes together in the Research Seminar and thesis as well as other research and writing requirements.

c. Air War College

(1) Mission. Educate senior military and civilian teammates to serve as critical and strategic thinkers able to serve as national security senior leaders.

(2) Program Description. AWC provides one Senior JPME degree program: the Master of Strategic Studies (MSS)—Resident. The MSS helps transform leaders into strategic leaders through a rigorous educational experience that challenges students with the intellectual tools they can draw upon in future assignments to provide senior leadership and sound advice on national security issues. The Air War College produces senior, air-minded, historically informed joint leaders able to develop, effectively communicate, and

apply innovative solutions to the challenges of a complex and dynamic international security environment by leveraging force or the threat of force, along with other instruments of power, to achieve national security objectives.

d. College of Naval Warfare

(1) Mission. Provide current, rigorous, and relevant senior JPME supporting CJCS OPMEP and the Navy's PME Continuum. Graduates are skilled naval and joint warfighters prepared to meet the operational and strategic challenges of today and tomorrow.

(2) Program Description. The CNW is a ten-month senior-level resident PME program designed to produce broadly educated strategic leaders who possess a strategic perspective underpinned by strategic analytical frameworks. Students apply disciplined, strategic-minded, critical thinking to challenges in multi-Service, multi-agency, and multinational environments. Graduates are able to act as strategic planners and joint warfighters who are effective maritime spokespersons. As a graduate program, the curriculum emphasizes critical thinking and reasoning skills rather than the absorption of facts. There is time provided for students to read and think on the subject matter. The majority of the curriculum is delivered in seminar based on the Socratic Method and experiential learning where students are expected to actively participate in the sharing of ideas.

e. Marine Corps War College

(1) Mission. Educates selected military and civilian professionals in order to develop critical and creative thinkers, military strategists, joint warfighters, and strategic leaders who are prepared to meet the challenges of a complex and dynamic security environment.

(2) Program Description. The Marine Corps War College (MCWAR) is the Marine Corps' SLE institution. The educational environment at MCWAR combines academic rigor with intellectual freedom, employing a variety of adult active learning methods to achieve academic excellence and to hone critical and creative thinking, military strategy, joint warfare, and leadership skills. The MCWAR student body is divided into two seminars with representatives from each Military Service, selected government agencies, and international officers. This mix of students provides the basis for a dynamic learning environment in a variety of interactive educational forums, to include Socratic seminars, case studies, exercises and practical applications, written assignments, and oral presentations. Facilitated by its proximity to the National Capitol Region, MCWAR exposes its students to experts from

government, academia, and industry. As an integral element of the Corps' PME framework, the MCWAR's curriculum and academic programs are designed to satisfy all JPME Phase II and SACSCOC requirements.

f. CGSC School of Advanced Military Studies/Advanced Strategic Leader Studies Program

(1) Mission Statement. Educate members of our Armed Forces, allies, and the interagency at the graduate level to become agile and adaptive leaders who are critical and creative thinkers who produce viable options to solve operational and strategic problems.

(2) Program Description. The Advanced Strategic Leader Studies Program (ASLSP) is a ten-month resident course developed and delivered by the School of Advanced Military Studies. As the senior level program of CGSC, the purpose of ASLSP is to educate future senior leaders of the Armed Forces, allies and the interagency for high-level policy, command, and staff responsibilities. The ASLSP curriculum provides a comprehensive, multifaceted focus at the theater-strategic level across the spectrum of Joint and land force operations during peace, crisis, and war. The Joint learning areas required for JPME II accreditation are an essential component for the design of the senior-level curriculum. ASLSP learning objectives align with the JPME requirements under title 10, U.S. Code, section 2151. The ASLSP curriculum consists of the seven courses: Strategy; Regional Studies; Joint Warfighting; Twenty-First Century Conflict; Strategic Leadership; and Research and Writing. All ASLSP graduates earn a Master of Art in Strategic Studies which require students to pass an assessment including a course assessment essay, research monograph, and an oral comprehensive examination.

g. U.S. Army War College

(1) Mission. Educate and develop leaders for service at the strategic level while advancing knowledge in the global application of Landpower.

(2) Program Description. The U.S. Army War College conducts three joint educational programs:

(a) The resident education program is a 10-month in-residence JPME II senior service college that educates approximately 384 students every year.

(b) The distance education program is a two-year hybrid JPME I Senior Service College program that enrolls approximately 482 students every summer.

(c) The Joint Studies Program is a two-year hybrid JPME II program; the size of the Joint Studies Program varies depending on the number of sister-Service students enrolled in the distance education program.

(d) All three programs are Military Education Level I for the Army. Graduates receive a Master's Degree in Strategic Studies. All three programs share the same program learning outcomes, shaped in part by guidance provided by the Officer Professional Joint Military Education Policy.

h. National War College

(1) Mission. Educate joint, interagency, and international leaders and warfighters by conducting a senior-level course of study in national security strategy, preparing graduates to function at the highest levels of strategic leadership in a complex, competitive, and rapidly evolving strategic environment.

(2) Program Description. The National War College's (NWC) fundamental aim is to graduate Joint, interagency, and multinational strategists with the ability to critically analyze security challenges in a complex, competitive, volatile, and rapidly evolving strategic environment and to develop and orchestrate viable national strategies to overcome those challenges. To achieve this aim, NWC develops strategists' ability to pragmatically evaluate the utility of the instruments of power for achievement of long-term national strategic objectives. NWC specifically focuses on the interrelationship between the military instrument and the other instruments of power and the integrated application of the instruments in war and statecraft. NWC graduates are prepared to function at the highest levels of strategic leadership, designing, critiquing, advising on, and leading national security strategy.

i. College of Information and Cyberspace

(1) Mission. Educate joint warfighters and national security leaders in order to lead and advise national security institutions and advance global security within the cyberspace domain and through the use of the information instrument of national power. The College of Information and Cyberspace (CIC) degree program offers a Master of Science in Government Information Leadership. CIC also offers graduate-level certificates to support the education of the DoD Cyberspace Workforce in accordance with references u and v.

(2) Program Description. The NDU CIC offers a wide spectrum of educational activities, services, and programs to prepare information leaders to play critical roles in national security in the Information Age. Qualified graduates are awarded JPME II credit and a Master of Science in Government Information Leadership with a concentration in National Security and Cyberspace Studies. The CIC's School of Joint Strategic Studies provides a JPME II graduate education focused on the information instrument of national power and the cyberspace domain. Graduates of the program will be national security leaders and advisors who lead, develop, and apply the policies, strategies, and doctrine to successfully leverage information and cyberspace operations within the broader national security framework. A fundamental strength of the program is its Joint, interagency, and multinational approach to studying the information environment and cyberspace. The students and faculty are drawn from across the U.S. armed forces, from U.S. civilian departments and agencies concerned with national security policy, and from key allies and international partners. Whether in pursuit of the Master of Science Degree, an NDU CIC certificate, or a graduate level course for professional development, CIC students bring diverse perspectives to contribute to a rich and dynamic learning environment. They are motivated to learn and share knowledge, experience, and best practices. CIC graduates are encouraged to become better leaders and decision-makers and to master the tools of lifelong learning.

j. Dwight D. Eisenhower School for National Security and Resource Strategy

(1) Mission. Educate joint warfighters and other national security leaders for strategic leadership and success in developing national security strategy and in evaluating, marshaling, and managing resources in order to execute that strategy. The Eisenhower School program offers a Master of Science in National Security Resource Strategy.

(2) Program Description. The Eisenhower School accomplishes its educational mission with a rigorous curriculum designed to promote the development of students as strategic thinkers and national security policymakers. The academic program includes courses in national security studies, economics, defense strategy and resourcing, acquisition, the global industrial base, and strategic leadership. These core courses are supplemented by a variety of elective courses and a vibrant student research program. Additionally, the school also offers concentration options, including the Senior Acquisition Course, as directed by the Defense Acquisition Workforce Improvement Act of 1990; Long-Term Strategy; and Supply Chain

Management. The curriculum includes a one-of-a-kind study of industry that requires the development of a strategic perspective on the U.S. and global industrial base and its role in supporting the resource requirements of national security. The Eisenhower School Program grants a Master of Science in National Security Resource Strategy.

k. College of International Security Affairs

(1) Mission. Educate joint warfighters and national security leaders in creative and critical thinking for the strategic challenges of winning strategies for the contemporary security environment. College of International Security Affairs (CISA) programs offer a Master of Arts in Strategic Security Studies.

(2) Program Description. CISA's International Combating Terrorism Fellowship Program (ICTF) is the flagship of the Office of the Assistant Secretary of Defense for Special Operations/Low Intensity Conflict's worldwide combating terrorism educational portfolio. ICTF has produced over 600 graduates from 90 countries. During their stay in Washington, D.C., Combating Terrorism Fellows engage in intensive master's degree coursework, to include a thesis that addresses a specific security issue relevant to their area of operations, country, or organization. To complement their academic coursework, students take part in a practicum where they visit government agencies to gain a better understanding of the U.S. national security decision-making process.

4. CAPSTONE/Flag and General Officer Education. The NDU CAPSTONE course ensures that newly selected GO/FOs understand the fundamentals of Joint doctrine and Joint Operational Art; how to integrate the elements of national power in order to accomplish national security and national military strategies; and how Joint, interagency, and multinational operations support national strategic goals and objectives.

a. Mission. Reinforce new GO/FO comprehension of joint matters and national security strategy needed for the remainder of an officer's career.

b. Program Description. Education at the GO/FO level is inherently joint and unified in nature. Its focus is on the highest levels of strategy, integrating the elements of national power to achieve national security objectives. CAPSTONE participants are referred to as "Fellows" because of the unique nature of the course and the special expertise and qualifications of those officers attending. The 5-week course is offered four times each year to satisfy the statutory requirement of the DoD Reorganization Act of 1986 that all newly selected GO/FOs attend the CAPSTONE course. The course differs from senior

Service schools in three major ways, other than the obvious rank of its participants, class size, and course duration. First, the course focuses on the employment of U.S. forces in joint and combined operations to support national policy objectives. Second, it provides personal interaction with CCDRs and other senior U.S. commanders. Third, retired four-star GO/FOs are attached to each class as Senior Fellows to provide advice and guidance.

ANNEX A TO APPENDIX B TO ENCLOSURE A

CJCS ACCREDITED JOINT EDUCATION PROGRAMS

Program	**Initial Certification or Accreditation Date**	**JPME Phase(s)**
National War College (NWC)	1 June 1989	Single-Phase[10]
Industrial College of the Armed Forces (ICAF)/(ES)	1 June 1989	Single-Phase[10]
School of Information Warfare and Strategy (SIWS)	10 May 1995[1]	Single-Phase I and II
Joint Forces Staff College (JFSC) (intermediate-level College)	1 June 1989[2]	I and II
Joint and Combined Staff Officer School (JCSOS) (JFSC) [3]	15 July 1990[4]	II
Joint and Combined Warfighting School (JCWS) (JFSC) [3]	25 October 1994	II
U.S. Army War College (USAWC)	1 June 1989[5] 28 September 2007[9]	I II
USAWC (Non-resident)	16 February 1999	I
Army Command and General Staff College (ACGSC) (Resident)	1 June 1989[5] *(Phase I credit for AY 90)*	I
ACGSC (Non-resident)	3 July 1991 *(1st graduates produced in 1992)*	I
Advanced Strategic Leadership Studies Program (ASLSP)[15]	April 2016	II
College of Naval Warfare (CNW)	1 June 1989[5] 18 May 2007[9]	I II
College of Naval Command and Staff (CNCS) (Resident)	1 June 1989[5]	I
College of Continuing Education/College of Distance Education (Navy ILC Non-resident)[7]	29 March 1991	I
Naval Postgraduate School (NPS)	11 December 1995[6]	I
Air War College (AWC)	1 June 1989[5] 16 November 2006[9]	I II
Air Command and Staff College (ACSC) (Resident)	1 June 1989[5]	I
ACSC (Non-resident)	2 November 1990	I

Marine Corps War College (MCWAR)	18 December 1992 14 September 2006[9]	I II
Marine Corps Command and Staff College (MCCSC) (Resident)	1 June 1989[5]	I
Marine Corps College of Continuing Education (MCCCE) (Non-resident)	28 January 1994	I[12]
Advanced Joint Professional Military Education (AJPME)	17 December 2004	N/A[8]
Joint Advanced Warfighting School	25 April 2008	Single-Phase[10] I
National Intelligence University (NIU)-	26 October 2012	I
College of International Security Affairs (CISA)-CSCT Program Cohort	25 June 2014	II[11]
College of Information and Cyberspace	20 July 2018	II
US Army War College Joint Studies		II[14]
NDU CAPSTONE	May 2015	III

Notes

1 SIWS terminated as an SLC after academic year (AY) 95-96.
2 Certified as JPME Phase-I ILC prior to transformation into current configuration as JPME Phase-II program. Graduates of JFSC ILC program in Jan 89, Jan 90 and Jun 90 received both JPME Phase-I and -II credit.
3 The National Defense Authorization Act for Fiscal Year 2001 changed the name of the Armed Forces Staff College to Joint Forces Staff College.
4 First class to receive JPME Phase-II credit was conducted July through September 1990.
5 Certain officers who completed the joint track program portion of Service ILCs and SLCs in AY 89 received both JPME Phase-I and -II credit. Officers who completed Service ILCs and SLCs in AY 85 through AY 89 and completed JCSOS (JFSC) by 1 January 1994 received both JPME Phase-I and -II credit.
6 NPS terminated its JPME program after AY 00.
7 This program is currently titled the College of Distance Education.
8 Now called the JCWS Hybrid Course. Meets the in-residence Title 10 requirements for JPME Phase-II.
9 Program ceased awarding JPME Phase-I credit once certified/accredited to award JPME Phase-II credit.
10 Single-Phase JPME" authority rescinded upon completion of AY 11-12. Effective with AY 12-13, course is only JPME- II granting (10, U.S.C., 2155).
11 AY 13-14 & 14-15 cohort graduates of the pilot curriculums are authorized to receive JPME-II credit. Accreditation of the CSCT Program as a permanent POI is expected by the end of AY 14-15.
12 Program name changed to Marine Corps College of Distance Education and Training.
13 24-28 April 2017 J7 Staff Assisted Visit confirmed progress and provided recommendations to meet JPME II requirements. Accreditation of the CIC resident program is expected in Calendar Year 19.
14 16-20 July 2018 PAJE awarded conditional accreditation to USAWC JSP for 38 months. Officers graduating in AY17/18/19 granted JPME II credit.
15 April 2016 conditional accreditation of ASLSP to grant JPME-II through 30 April 2019; 28 January 2019 JS J7 extension of conditional accreditation thru 31 July 2020

APPENDIX C TO ENCLOSURE A

COMMON EDUCATION STANDARDS

1. Introduction. PAJE standards for JPME certification are preserved under OBME. PAJE standards are based on historic best practices and describe conditions that contribute to excellence in learning. Once accredited, JPME programs will be reaffirmed using a combination of PAJE standards (input metrics) and outcomes assessment reports (output metrics). For OBME, the inputs set the conditions for learning achievement; the outputs provide the evidence of learning achievement.

2. Standard 1 – Joint Acculturation. JPME resident programs will maintain a mix of students and faculty to foster a joint learning experience, meet Joint educational requirements described in this Instruction, encourage critical analyses of current and emerging national strategies from a joint perspective, and foster a commitment to joint and interagency cooperation. Non-resident programs will seek to maintain a mix of students and faculty that fosters a joint perspective and representative of a joint learning experience.

3. Standard 2 – The Academic Experience. JPME programs must be academically rigorous and intellectually challenging, requiring students to engage with faculty and other students to ascertain and analyze diverse perspectives. Instructional methods should be appropriate to the subject matter and desired levels of learning, and should employ active student learning strategies where feasible.

4. Standard 3 – Student Achievement. JPME programs should measure student knowledge and understanding through the use of course and program assessments. Course and program outcomes should clearly state what performance students are expected to demonstrate by the end of a course and program. Direct assessment of student learning is essential and foundational to the success of OBME. Indirect assessments may be used to supplement direct assessment results. Indirect assessments may be useful to evaluate attainment of learning outcomes such as when the outcome is in the affective domain and to provide program leaders with enhanced understanding of the program's effectiveness in fostering student performance.

5. Standard 4 – Program Review. JPME curricula should reflect a regular, rigorous, and documented review process that leverages evidence, directly involves the faculty, and reflects the program's mission. The PAJE review should be a check on the integrity of the review process. In addition, JPME stakeholders should be queried periodically to validate the quality, relevancy,

and currency of JPME curricula and ensure emerging topics are considered for inclusion in JPME curriculum updates.

6. Standard 5 – Faculty Selection, Development, and Performance Assessment Program. Given the nature of JPME, recruiting and training of faculty is often continuous. Effective JPME programs recruit and hire the best possible faculty available (military and civilian), train them to be successful in the JPME environment, and provide opportunities for internal and external development. Recruiting and maintaining a high-quality faculty with proper academic credentials, teaching abilities and skills, and experience in joint and professional matters must remain a constant focus. Faculty should have clearly defined performance criteria.

7. Standard 6 – Infrastructure and Financial Capabilities. Each JPME program must have facilities and infrastructure sufficient to support its mission. This requires a reliable information technology network, access to a library capable of supporting the breadth of topics and research requirements of the program, and learning resources necessary to support and maintain an active-learning, seminar-based educational environment. Furthermore, each JPME institution must ensure its programs are sufficiently resourced in terms of finance, personnel, and technology to support the program's ability to achieve and assess its outcomes.

ENCLOSURE B

RESPONSIBILITIES

1. Introduction. The following roles and responsibilities are required to ensure effective governance and execution of this policy.

2. Chairman of the Joint Chiefs of Staff. The CJCS is responsible for the following:

a. Formulating policies for coordinating the military education of members of the Armed Forces.

b. Advising and assisting the SecDef by periodically reviewing and recommending revisions to the curriculum of JPME institutions to enhance the education of officers in joint matters.

c. Advising and assisting the SecDef through the designation and certification (accreditation) of all elements of joint professional military education.

d. Providing primary oversight of Joint military education, to include approving Joint PME outcomes, SAEs, and Joint Force DLAs.

e. Serving as the principal military adviser to the SecDef on PME matters.

f. Approving CJCS Chairs.

g. Periodically providing Joint Staff subject matter expert support from the various directorates to provide briefings, lectures, and papers to enhance and extend the JPME enterprise.

h. Approving the annual JPME Phase I Equivalency list and SAEs.

i. Approving the annual PME Countries of Emphasis Memorandum and the International PME Strategy

3. Service Chiefs. Each Service Chief is responsible for:

a. Managing the content, quality, and conduct of the Service's PME programs at all levels within the guidelines of the military educational framework and implementing guidance contained in this policy.

b. Aligning PME and talent management systems to ensure the right students are identified and assigned to the right school at the right time.

c. Ensuring officers receive effective Joint PME at appropriate times during all five levels of officer development.

d. Ensuring that Joint PME outcomes are achieved at all five levels of officer development.

e. Providing students to JPME resident programs as follows:

(1) Ensure sufficient students are provided to maintain a core JPME seminar-student mix containing at least one U.S. military officer from each of the non-host Military Departments.

(2) Ensuring that officers from the non-host Military Departments for Service senior-level colleges (SLCs) will be proportionally represented.

(3) Providing sufficient students for the JPME programs and colleges at NDU to maintain a U.S. military student body mix of approximate one third by Military Department.

(4) Ensuring that Service intermediate-level colleges and SLCs maintain a balanced seminar mix of operational and functional expertise from non-host Military Departments.

(5) Providing faculty to JPME programs in accordance with the mix requirements for ILE and SLE programs contained in this Instruction.

(6) Ensuring that Service programs achieve their JPME program outcomes.

(7) Determining appropriate mix of active duty, RC, international officer, and civilian participation in JPME colleges.

(8) Providing the CJCS with reports (on a Request for Information basis) on the effectiveness of the Service in achieving Joint PME outcomes at each level of officer development.

4. Office of the Director, Joint Staff. The Special Assistant for GO/FO Matters will monitor the attendance of newly promoted GO/FOs at the CAPSTONE course to ensure that attendance occurs within 2 years of Senate confirmation (or that a waiver is obtained from OSD).

5. Director for Joint Force Development, J-7. The DJ-7 will:

a. Chair the MECC.

b. Oversee the PAJE.

c. Review stakeholder feedback received from JPME surveys and advise the MECC appropriately.

d. Advise the CJCS on the effectiveness of JPME schools in achieving program outcomes.

6. Chief, Joint Staff J-7, Joint Education and Doctrine Division. The Chief, J-7/JEDD will:

a. Maintain a Joint Staff manual to provide JPME programs with processes and procedures for use by organizations responsible for execution and governance of policies contained in this instruction.

b. Maintain, and periodically review and refresh, the CJCS Officer PME policy and manual.

c. Produce for CJCS approval the CJCS SAE listing.

d. Produce for CJCS decision the annual JPME I equivalency list.

e. Administer the PAJE.

f. Chair the MECC WG.

g. Establish an assessment advisory committee that will advise the Joint Staff J-7 and MECC on best practices in outcomes-based education assessments.

h. Prepare the annual Military Education report in accordance with reference b and this Instruction.

i. Represent J-7 on the J-5–led International PME Advisory Board.

j. Assist J-5 with the CJCS' International PME strategy.

k. Coordinate the annual review of JAWS assignments.

l. Collect, collate, and analyze data relevant to the delivery of JPME, preparing associated reports as required.

m. Prepare for CJCS decision on CJCS Chair nominations.

7. Director for Manpower and Personnel, J-1. The Director, J-1 will:

a. Monitor compliance with 10 U.S.C. Chapter 107 and Chapter 38 requirements for Joint duty assignments after completion of JPME.

b. Coordinate requests for JPME Phase II Direct Entry Waivers.

8. Director for Strategic Plans and Policy, J-5. The Director, J-5 will:

a. Maintain, and periodically review and refresh, the CJCS' International PME Strategy (in coordination with J-7).

b. Annually publish the CJCS' PME Countries of Emphasis memorandum.

c. Co-chair, with OSD, the International PME Advisory Board.

d. Respond, on behalf of the CJCS, to invitations for U.S. officers to attend foreign-based PME.

e. Annually validate to J-7 the proper distribution of JDAL billets requiring JAWS graduates.

f. Assist, as required, in J-7–led efforts regarding the survey of JPME graduates.

9. Combatant Commanders. CCDRs will:

a. Participate in the periodic J-7–led assessments of JPME graduates.

b. Respond to JPME Schools Graduate Survey requests.

c. Respond to requests from NDU and the Services regarding the currency and relevancy of JPME and PME curricula.

ENCLOSURE C

REFERENCES

a. Title 10, U.S. Code, section 153 paragraph 6.c.

b. Title 10, U.S. Code, chapter 107, Professional Military Education

c. DoDI 1322.PB Series-Volume I, "Military Education Policy"

d. Joint Publication 1, "Joint Doctrine of the Armed Forces of the United States" 25 March 2013

e. Joint Doctrine Note 1-19, "Competition Continuum," 3 June 2019

f. DoDD 3000.07 Series, "Irregular Warfare (IW)"

g. DoDI 3000.11, "Management of DoD Irregular Warfare and Security Force Assistance Capabilities," 3 May 2016

h. Irregular Warfare Annex to the 2018 National Defense Strategy

i. Joint Staff Director, Joint Force Development memorandum, "Nuclear Posture Review Task 20A," 5 June 2019

j. Nuclear Posture Review, February 2018

k. National Defense Strategy 2018

l. National Military Strategy 2018

m. Capstone Concept for Joint Operations 2030, 19 June 2019

n. CJCS Memorandum; "CJCS Professional Military Education Countries of Emphasis for Academic Year 2018"

o. CJCS Memorandum: "CJCS International Professional Military Education Strategy 2014"

p. DepSecDef memorandum, "Foreign Nationals Education and Training," 10 December 2019

q. Title 10, U.S. Code, section 663

r. DoDI 1300.19 Series, "DoD Joint Officer Management Program"

s. CJCSI 1330.05 Series, "Joint Officer Management Procedures"

t. CJCSI 5701.01 Series, "Policy for the Development of CJCS, Joint Staff, and J-Directorate Directives"

u. DoD Cyberspace Strategy, April 2015

v. DoDD 8140.01, "Cyberspace Workforce Management"

GLOSSARY

PART I -- ABBREVIATIONS AND ACRONYMS

ACSC	Air Command and Staff College
ADL	Active Duty List
ASLSP	Advanced Strategic Leadership Studies Program
AWC	Air War College
AY	Academic Year
CGSC	Command and General Staff College
CGSOC	Command and General Staff Officers Course
CIC	College of Information and Cyberspace
CISA	College of International Security Affairs
CJCS	Chairman of the Joint Chiefs of Staff
CNC&S	College of Naval Command and Staff
CNW	College of Naval Warfare
DE	Distance Education
DL	Distributive Learning
DJS	Director of the Joint Staff
DLAs	Desired Leader Attributes
DECC	Distance Education Coordination Committee
DoD	Department of Defense
GO/FO	General/Flag officer
ICTF	International Combatting Terrorism Fellowship
ILE	Intermediate-level education
IMS	International Military Student
IW	Irregular Warfare
J1	Directorate for Manpower and Personnel, Joint Staff
J5	Directorate for Strategic Plans and Strategy
J7	Directorate for Joint Force Development, Joint Staff
JAWS	Joint Advanced Warfighting School
JCS	Joint Chiefs of Staff
JCWS	Joint and Combined Warfighting School
JDA	Joint Duty Assignment
JDAL	Joint Duty Assignment List
JEDD	Joint Education and Doctrine Division
JFSC	Joint Forces Staff College
JLA	Joint Learning Area

JOM	Joint Officer Management
JPME	Joint Professional Military Education
JQO	Joint Qualified Officer (Level-III)
MCCCE	Marine Corps College of Continuing Education
MCCSC	Marine Corps Command and Staff College
MCWAR	Marine Corps War College
MECC	Military Education Coordination Council
MECC WG	Military Education Coordination Council Working Group
MEI	Military Education Institution
NDU	National Defense University
NIU	National Intelligence University
NPS	Naval Postgraduate School
NWC	Naval War College
OBME	Outcome-Based Military Education
OPMEP	Officer Professional Military Education Policy
OSD	Office of the Secretary of Defense
PAJE	Process for Accreditation of Joint Education
PLO	Program Learning Outcomes
PME	Professional Military Education
SAE	Special Area of Emphasis
SIWS	School of Information Warfare and Strategy
S-JDA	Standard- Joint Duty Assignment
SLC	Senior-Level College
SLE	Senior-Level Education
STFR	Student-to-faculty ratio
USAWC	United States Army War College
USAWCJSP	United States Army War College Joint Studies Program

GLOSSARY

PART II – DEFINITIONS

Acculturation — A change in behaviors and thinking that is the culmination of continuous contact among groups of individuals of different cultures resulting in changes in original cultural patterns.

Attributes — Abilities, traits, behaviors that result in others "attributing" certain characteristics to a subject. Evaluation of an attribute is complicated as it requires that assessments are targeted at the "attributor." Accordingly, cognitive development of attributes requires the deconstruction or translation of attributes into education outcomes that can be taught and demonstrated.

Assessment — The systematic collection, review, and use of information to improve student learning and development.

Direct Assessment — Measures of learning that are based on student performance or demonstrations of the learning itself. It gathers and analyzes data from student behavior tied directly to learning outcomes and provides demonstrable evidence that students achieved the learning outcomes. Direct assessment of learning can occur within a course and also across courses or a program. Examples include portfolios, presentations, tests/exams, projects, wargames/simulations, and written assignments. Direct assessments may be used for formative or summative assessment purposes.

Direct-Entry Waiver (DEW) — A waiver, requested by a Service and approved by the CJCS, that permits an officer who is neither a graduate from an accredited JPME Phase I course of instruction, nor a recognized Phase I-equivalent program, to attend JPME Phase II prior to completion of Phase I. The waiver only concerns the sequencing of the JPME phases and does not alter the requirement for completion of both JPME Phases I and II to meet the full education prerequisite for JQO III designation.

Distance Education Coordination Committee (DECC) — The DECC is an ongoing forum established under the Military Education Coordinating Council Working Group to promote best practices, exchange shareware, and provide and exchange information regarding technical and non-technical issues in distance education to encourage collaboration, joint enterprise, and leverage of membership successes. Membership consists of the deans and directors of all distance education programs at the intermediate- and senior-level PME institutions with DE programs, encompassing continuing education and non-resident PME programs at the various Service and joint education institutions.

Faculty – Personnel (military or civilian) who teach and prepare or design curriculums.

Indirect Assessment — Measures that solicit perceptions and reflections or utilize secondary evidence to make inferences about student learning. It collects and analyzes perceptions of mastery of learning outcomes and may be self-reported or reported by others. Examples include students' self-assessments, course evaluations, alumni surveys, satisfaction surveys, and grades.

Institutional Assessment — An assessment of institutional effectiveness that includes evidence of student learning plus all assessment of non-instructional components of the institution that either directly or indirectly contribute to student success. Can utilize formative or summative, and direct or indirect assessment measures.

Institutional Effectiveness — Systematic and ongoing process of planning, making informed decisions, and allocating resources by collecting, assessing, and acting on data relative to how well the institution is achieving its mission and learning outcomes.

Joint Acculturation — The process of understanding and appreciating the separate Service cultures resulting in joint attitudes and perspectives, common beliefs, and trust that occurs when diverse groups come into continuous direct contact.

Joint Learning Areas — Broad categories of Joint knowledge approved by the CJCS based on high-level DoD guidance from authoritative sources such as the National Defense Strategy and National Military Strategy to summarize the learning areas to be covered across a continuum of professional military education. Joint officer education.

Joint matters — Joint matters are defined in title 10, U.S. Code, Chapter 38, section 668 as matters related to the achievement of unified action by integrated military forces in operations conducted across domains such as land, sea, air, space, or in the information environment, including matters relating to national military strategy; strategic planning and contingency planning; command and control of operations under unified command; national security planning with other departments and agencies of the United States; and combined operations with military forces of allied nations. 'Multiple military forces' refers to forces that involve participants from the Armed Forces and one or more of the other departments and agencies of the

United States; military forces or agencies of other countries; and non-governmental persons and entities.

Joint Professional Military Education — Joint professional military education consists of the rigorous and thorough instruction and examination of officers of the armed forces in an environment designed to promote a theoretical and practical in-depth understanding of joint matters and, specifically, of the subject matter covered. As a subset of professional military education under title 10, U.S. Code, Chapter 107, JPME satisfies the educational requirements for joint qualified officer development.

Joint Qualified Officer (JQO) – An officer designated by the SecDef, with the advice and assistance of the CJCSff, who is educated and trained in joint matters and has completed the Level 3 requirements for JQO designation. An officer must be in the grade of O-4 or above to be designated a JQO.

Military Education (ME) — Encompasses all PME, to include JPME and the entire set of education-based PDOs offered by DoD MEIs. ME can be offered in schoolhouses, online or through distance or blended-learning, and across the entire span of Service members'/DoD civilians' careers. It also includes specialized educational programs, research and doctrinal studies, and DoD-sponsored fellowships and graduate-level educational opportunities at civilian institutions. For officers, ME begins in pre-commissioning education. ME ends at an officer's separation from the military. Its purpose is to equip attendees with knowledge, skills, and/or experience to succeed in the performance of DoD missions and may result in professional certifications supporting their professional performance and/or advancement.

Military Education Coordination Council (MECC) — An advisory body to the DJS on joint education issues, consisting of the MECC Principals and a supporting MECC WG. The purpose of the MECC is to address joint scholarship and key educational issues of interest to the joint education community, promote cooperation and collaboration among the MECC member institutions, and coordinate joint education initiatives.

Military Education Coordination Council Principals – The MECC Principals are the DJ-7; Chief, J-7/JEDD; the Presidents, Directors, and Commandants of the JPME colleges, Service universities, ILCs and SLCs; and the heads of any other JPME-accredited institutions.

Military Education Coordination Council Working Group (MECC WG) – A working group comprised of representatives (O-6s and dean-level civilian

counterparts) of the MECC Principals. The Chief, J-7/JEDD chairs the working group. Its primary function is coordination of MECC agenda items.

Outcomes-based Education – The term outcome-based military education is defined verbatim from the American Association of School Administrators' definition of outcome-based education: "Outcome-Based Education means clearly focusing and organizing everything in an educational system around what is essential for all students to be able to do successfully at the end of their learning experiences. This means starting with a clear picture of what is important for students to be able to do, then organizing curriculum, Instruction, and assessment to make sure this learning ultimately happens. The keys to having an outcome-based system are: 1) Developing a clear set of learning outcomes around which all of the system's components can be focused. 2) Establishing the conditions and opportunities within the system that enable and encourage all students to achieve those essential outcomes." This term and its definition are proposed for inclusion in the next edition of the DoD Dictionary of Military and Associated Term.

Program – The JPME certified or accredited entity (reference appendix b) that is responsible for JPME instruction and receives a PAJE inspection.

Program Learning Outcomes. – Identify and describe the specific desired knowledge, skills, and dispositions graduates will demonstrate at the conclusion of the program.

Skilled Joint Warfighters – Senior officers who can develop and execute national military strategies that effectively employ the Armed Forces in concert with other instruments of national power to achieve the goals of national security strategy and policy in the air, land, maritime, and space physical domains and the information environment (which includes cyberspace).

Special Areas of Emphasis (SAEs) – SAEs provide the CJCS with a means for ensuring the currency and relevancy of the JPME curricula and provide an independent view of what those curricula may address based on each program's unique mission. SAEs are mandatory for JPME programs and are renewed annually by the Joint Faculty Education Conference, comprised of representatives from OSD, the Services, CCMDs, Defense Agencies, Joint Staff, and Joint PME colleges/schools.

Stakeholders – Stakeholders are defined as senior leaders from organizations across the Joint Force responsible for providing JPME graduates with opportunities to gain experience in Joint matters to further their development as critically thinking and strategic-minded Joint leaders. In the context of

outcomes-based military education, stakeholders from the CCMDs, Joint Staff, and OSD are expected to provide periodic feedback to JPME institutions to improve the effectiveness of JPME based on performance assessments of JPME graduates.

Strategic thinkers – Theoretical and/or applied strategists who demonstrate problem-solving and mental abilities to develop ideas and a feasible action toward a worthwhile goal and implement the plans required to bring these ideas to fruition.

Student Learning Outcome – A measurable statement of what students should know and be able to do as a result of their course work and educational experiences at an institution or in a program of study. Student learning outcomes are operational statements describing the specific observable student behaviors that provide evidence of the acquisition of desired knowledge, skills, abilities, capacities, attitudes or dispositions.

Substantive Change – Changes at the program and institutional level that could cause significant changes in the accreditation and quality delivery of JPME programs. Changes could encompass inadequate student and faculty mixes, plans to reduce eliminate or reduce emphasis on mandatory topics, reductions in levels of learning that could affect rigor; new mission statement and resultant changes in program outcomes and assessment plans; infrastructure and information technology shortfalls.

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CJCSI 1805.01B
15 May 2015

ENLISTED PROFESSIONAL MILITARY EDUCATION POLICY

JOINT STAFF
WASHINGTON, D.C. 20318

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CHAIRMAN OF THE JOINT CHIEFS OF STAFF INSTRUCTION

J-7 CJCSI 1805.01B
DISTRIBUTION: A, B, C, S 15 May 2015

ENLISTED PROFESSIONAL MILITARY EDUCATION POLICY

Reference(s):
See Enclosure F for References

1. Purpose. This instruction circulates the policies, procedures, objectives, and responsibilities for Enlisted Professional Military Education (EPME) and Enlisted Joint Professional Military Education (EJPME).

2. Superseded/Cancellation. CJCSI 1805.01A with Change 1, 20 September 2011, "Enlisted Professional Military Education Policy," is hereby superseded.

3. Applicability. This instruction applies to the Joint Staff, the National Defense University (NDU), the Military Services, and the National Guard. Distribution to other agencies is for information only.

4. Policy. Learning and leadership are at the core of our profession. Military service must continue to be our nation's preeminent leadership experience. The enduring purpose of Enlisted Professional Military Education (EPME) is to develop leaders by conveying a broad body of professional knowledge and developing the habits of mind essential to our profession. Leader development therefore should become the predominant theme of the Enlisted Joint Professional Military Education (EJPME) experience.

5. Definitions. See Glossary.

6. Responsibilities

a. Per reference a, the Chairman of the Joint Chiefs of Staff is responsible for formulating policies to coordinate the military education and training for members of the Armed Forces.

b. Enclosure A outlines the policies and procedures necessary to fulfill Chairman Joint Chiefs of Staff (CJCS) Professional Military Education (PME) vision and responsibilities for the enlisted force. Enclosures B and C address

specific EPME policies and provide guidance to Service Chiefs on joint emphasis areas that consist of joint learning areas (JLAs) and joint learning objectives (JLOs) that should be included in Service EPME programs. Enclosures D and E outline JLAs and JLOs that define the EJPME program. Enclosure F is a list of references pertaining to this instruction.

7. Summary of Changes

a. Incorporates Enlisted Desired Leader Attributes (EDLAs) to promote the Profession of Arms in support of the CJCS vision for Joint Force 2020.

b. Amends Table 1, "Enlisted Military Education Continuum," to reflect recommendations from the 2013 CJCS Review of Joint Education.

c. Removes Enlisted Military Education Review Council (EMERC) Working Group (WG).

d. Removes Deputy Director, Joint Staff, for Military Education (DDJS-ME) and assigns responsibilities to J7 Deputy Director, Joint Education and Doctrine (DD JED).

e. Adds Deputy Director Joint Training (DD JT) as Director for Joint Force Development, Joint Staff J-7 (DJ7) OPR for EJPME course development and maintenance.

f. Integrates JLAs, JLOs with enlisted desired leader attributes (DLAs) across the continuum of learning spanning Basic, Career, Senior, and Keystone education.

g. Incorporates provisions for changes to Senior Enlisted JPME I and II (SEJPME I and II) Course learning areas and objectives.

h. Adds Joint Special Operations University (JSOU) to glossary.

8. Releasability. UNRESTRICTED. This directive is approved for public release; distribution is unlimited on NIPRNET. DOD Components (to include the Combatant Commands), other Federal agencies, and the public, may obtain copies of this directive through the Internet from the CJCS Directives Electronic Library at: [http://www.dtic.mil/cjcs_directives/]. JS activities may also obtain access via the SIPR Directives Electronic Library Websites.

9. Effective Date. This INSTRUCTION is effective upon receipt.

For the Chairman of the Joint Chiefs of Staff:

JACQUELINE D. VAN OVOST, Maj Gen, USAF
Vice Director, Joint Staff

Enclosures

A - Enlisted Professional Military Education Policy (EPMEP)
B - Policies for Enlisted Professional Military Education Programs
C - Enlisted Joint Professional Military Education (EPME) Review Process
D - Responsibilities
E - Enlisted Joint Professional Military Education (EJPME)
F - References
GL - Glossary

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ENCLOSURE A

ENLISTED PROFESSIONAL MILITARY EDUCATION POLICY (EPMEP)

1. Overview. The Enlisted Professional Military Education Policy (EPMEP) defines CJCS objectives, enlisted desired leader attributes (EDLAs), and responsibilities of the education and training institutions that comprise EPME and EJPME programs. In accordance with the CJCS vision for advancing the Profession of Arms and for building Joint Force 2020, the goal of the EPMEP is to provide the educational framework for enlisted leader development centered on the CJCS-approved JLAs, JLOs, and EDLAs. The Decade of War (DOW) lessons learned inform the EDLAs and serve as guideposts to develop agile and adaptive leaders with the requisite values, strategic vision, and critical thinking skills to keep pace with the changing security environment. As guideposts, the EDLAs inform EPME curriculum development across EPME programs to achieve the goal of expanding "jointness" to all appropriate levels of the U.S. Armed Forces.

a. While subject to change as the security environment and missions evolve, the CJCS-approved EDLAs are:

(1) The ability to operate on commander's intent and enable mission command at all levels.

(2) The ability to make sound ethical decisions based on the values and standards of the profession of arms.

(3) The ability to utilize available resources to enhance the discipline, readiness, resiliency, and health of the total force.

(4) The ability to anticipate, communicate, and mitigate risks.

(5) The ability to operate in joint, interagency, intergovernmental, and multinational environments.

(6) The ability to think critically and develop agile and adaptive leaders. The alignment of EDLAs to JLAs and JLOs has significant implications as we move forward in meeting the intent of institutionalizing the essential knowledge, skills, attributes, and behaviors that define our profession.

b. Members of the U.S. Armed Forces receive EPME through the collective efforts of the Services and the National Defense University (NDU).

(1) Each Service operates an EPME system that provides personnel with the knowledge, skills, abilities, attributes, and attitudes appropriate to their grade. EJPME is woven throughout Service-provided EPME beginning with initial enlistment (E1) and extending through the most senior grade (E9).

(2) The joint operating environment extends to all levels of war and allows interoperability within theater security cooperation initiatives. This new reality necessitates the expansion of JPME to include enlisted personnel. While not mandated by law (as is the case for officers), this policy is a codifying recognition that operating in joint, interagency, intergovernmental and multinational (JIIM) warfighting organizations and staffs requires JLOs be made available to all enlisted personnel. Service Chiefs should incorporate joint focus areas into Service curriculums wherever appropriate.

c. All enlisted personnel should make a continuing, strong, and personal commitment to their professional development beyond the formal schooling offered in our military education and training system. Accordingly, Service training and education commands should prepare junior Service personnel to accept this responsibility. Enlisted leaders (E6/7 – E9) should embrace the greatest responsibility for ensuring continued personal growth and the growth of their subordinates.

2. Scope. This instruction addresses PME and JPME throughout the entire enlisted continuum (E1 through E9) for the total force.

NOTE: The following Service-dependent grades are inferred when references to senior enlisted (SE) and their education continuums are made:

USA, USN, USCG, USAF: E7 through E9

USMC: E6 through E9

3. Intent. We invest today in education to prepare for the conflicts of tomorrow. Making sure we are teaching correctly for today's environment and looking ahead to whom or to what comes next represents the most significant challenge to our education efforts across the board with EJPME as a key enabler for success.

a. Professional development is the product of a learning continuum that comprises individual training, experience, education, and self-development. The role of PME is to provide the education needed to complement individual training, operational experience, and self-improvement to produce the most professionally competent, and self-confident individual possible. Within our enlisted ranks, the focus of learning opportunities centers on individual training (how to do). As enlisted personnel grow in experience and assume

greater responsibilities, individual training is enhanced with professional education (how to think) opportunities.

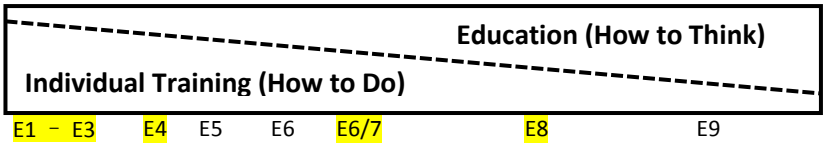

Figure 1. Service PME

b. In its broadest vision, education conveys general bodies of knowledge and develops habits of mind applicable to a broad spectrum of endeavors. As viewed through the prism of "Learning Domains", education is largely defined through the cognitive domain and fosters breadth of view, diverse perspectives, critical analysis, abstract reasoning, comfort with ambiguity and uncertainty, and innovative thinking, particularly with respect to complex, non-linear problems. This contrasts with training that focuses largely through the psychomotor domain on the instruction of personnel to enhance their capacity to perform specific functions and tasks. Learning that is associated with describing attitudes toward the understanding of Joint Matters is focused through the affective domain. A description of the taxonomy that defines the levels of learning achievement is presented in Appendix A to Enclosure E.

c. Training and education are not mutually exclusive. Virtually all military schools and professional development programs include elements of both education and training in their academic programs. Achieving success across the learning continuum relies on close coordination and integration of training and education to develop synergies as personnel develop over time, acquiring and performing progressively more complex and demanding skills and responsibilities as they advance in their careers.

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APPENDIX TO ENCLOSURE A

ENLISTED PROFESSIONAL MILITARY EDUCATION (EPME) CONTINUUM

1. Overview. The EPME Continuum (see Annex A to this Appendix) reflects the dynamic system of enlisted career education and individual training. It identifies areas of emphasis that support defined educational levels and provides JLOs guidance for military schools and enlisted leadership academies. It is a comprehensive frame of reference depicting the progressive nature of EPME and EJPME, guiding an enlisted member's individual development over time.

a. The continuum structures the development of Service enlisted personnel by organizing the EPME continuum into five levels of military education: introductory, primary, intermediate, senior, and executive. It also defines the focus of each educational level in terms of the major levels of war: tactical, operational, and strategic. Lastly, it links educational levels to JLAs and complementary JLOs.

b. The continuum recognizes both the distinctiveness and interdependence of Service schools and JLAs that should be emphasized during an individual's education and training experiences. Service schools, in keeping with their role of developing Service specialists, primarily and appropriately place emphasis on education and training from a Service perspective. The EPMEP provides guidance regarding JLAs and JLOs that should be included in EPME curriculums to prepare future senior enlisted leaders for success in the joint operations environment.

2. Enlisted Professional Military Education (EPME) and Enlisted Joint Professional Military Education (EJPME) Relationships

a. EPME enhances the leadership and warfighting capability of enlisted personnel essential to their performance in a joint warfare environment and in joint duty assignments. The initial focus of EPME is military occupational specialty training that trains and educates personnel. The EPME system should produce enlisted personnel capable of performing assigned tasks and responsibilities appropriate to their level.

b. EJPME is that portion of EPME that expands a members learning opportunities by embedding a joint context into existing PME, thereby enhancing an individual's ability to operate in a joint environment. EJPME supports a persistent institutional viewpoint that the learning continuum to build knowledge of the joint operating environment should be introduced early

in the military education process and reinforced throughout the enlisted member's career.

3. The Enlisted Professional Military Education (EPME) Continuum

a. EPME Levels. The EPME continuum relates five levels of military education to five significant phases in an enlisted Service member's career. Delineation of pay grades ("one up, one down") associated with the five educational levels is Service dependent. For example, pay grade E6 may fall into the intermediate level versus the primary level for a specific Service as depicted below. Following are the five phases and the typically associated pay grades:

(1) Introductory. Individual military training and education received at Service initial entry training sites and basic skill development schools, typically in pay grades E1 through E3.

(2) Primary. Individual military training and education typically received in pay grades E4 through E6.

(3) Intermediate. Individual military training and education typically received in pay grade E7 (E6 for U.S. Marine Corps).

(4) Senior. Individual military training and education typically received in pay grades E8 and E9.

(5) Executive. Individual military training and education received as a Command Senior Enlisted Leader (CSEL). CSELs are individuals in the pay grade of E9 who are serving as the command's enlisted leaders in a general or flag officer led organization.

b. Levels of War. The continuum also portrays the focus of each educational level in relation to the tactical, operational, and strategic levels of war as outlined in reference b. It recognizes that EPME and EJPME curricula educate across all levels of war and interoperability within theater security cooperation initiatives.

c. Introductory Education

(1) Institutions and Courses

(a) Service initial entry and Military Occupational Specialty/Air Force Specialty Code (MOS/AFSC)/Rating training sites.

(b) Service basic development schools and courses.

(2) Focus. At the introductory level, education complements individual training. Curricula content is oriented toward providing enlistees with a basic grounding in the U.S. defense establishment and their specific Service.

d. Primary Education

(1) Institutions and Courses

(a) Service MOS/AFSC/Rating, warfare specialty schools and courses.

(b) PME leadership schools and courses.

(2) Focus. Primary education focuses on preparing enlisted personnel to assume a leadership role in their assigned MOS/AFSC/Rating. The curricula are Service-oriented and focus on the tactical level of war and small-unit operations.

e. Intermediate Education

(1) Institutions and Courses

(a) Service MOS/ AFSC/Rating, warfare specialty schools and courses.

(b) Service intermediate level PME leadership academies and schools.

(2) Focus. Education at this level continues the development of noncommissioned officer and petty officers as they elevate to the senior enlisted ranks (E6 or E7 depending on the individual Service). The curricula remain Service-oriented and focus on the tactical level of war and mid-sized unit operations and may introduce aspects of the operational level of war.

f. Senior Education

(1) Institutions and Courses

(a) Service MOS/AFSC/Rating, warfare specialty schools and courses.

(b) Service senior level PME leadership academies and schools.

(2) Focus. Education at this level incorporates the operational level of warfighting, introducing interagency and multinational operations, and addresses leadership at the unit and organizational levels.

g. Executive Education

(1) Instructional Opportunities. Courses, seminars, symposiums, and conferences.

(2) Focus. Education at this level incorporates increased knowledge of JIIM, introduces the strategic level of warfighting, and addresses command senior enlisted leadership.

4. Enlisted Joint Professional Military Education (EJPME) Within the Enlisted Professional Military Education (EPME) Continuum. Enlisted professional development and progression through the continuum is a Service responsibility. This instruction provides guidance to the Services, enabling them to incorporate relevant EJPME material into their respective EPME system. The guidance consists of joint focus areas, JLAs, and JLOs that are linked to the five EPME levels. The continuum design progressively develops the knowledge, skills, perspectives, and values essential for enlisted personnel so they may function effectively in joint, interagency, and multinational operations and organizations. Enclosure E and Appendix A to Enclosure E provide common EJPME standards and learning objective verb guidance for institutions so they may incorporate JLAs and JLOs into appropriate EPME programs.

a. EJPME Continuum and Flow. All enlisted personnel should be exposed to EJPME as they progress through their respective Services' EPME system. This exposure prepares them to succeed in the complex future operating environment by improving their ability to operate effectively as part of a Joint Force. Some senior enlisted personnel may require a more comprehensive joint education to prepare them for an assignment to a joint billet at the Senior Enlisted Leader/CSEL level.

b. EJPME includes four educational levels that span an enlisted member's career and apply to all enlisted personnel. A brief synopsis of the four EJPME levels follows:

(1) Basic EJPME. The basic EJPME level addresses the progressive educational guidelines that should be completed by pay grade E6. Appendix B to Enclosure E provides guidance to the Services to integrate JLOs into Service Introductory or Primary EPME programs including formal schooling, job aids, promotion guides, and Web-based courses as deemed appropriate.

(2) Career EJPME. This level addresses educational guidelines for SE personnel in grades E6/7 and above. Appendix C to Enclosure E provides guidance to the Services so they may integrate JLOs into Intermediate, Senior,

and/or Executive EPME programs, including formal schooling, job aids, promotion guides, and Web-based courses as deemed appropriate.

(3) Senior EJPME. This level addresses educational guidelines for enlisted leaders in grades E7 to E9. The SEJPME courses are two stand-alone on-line courses that educate enlisted leaders serving in or slated to serve in joint organizations (See Enclosure E, Appendix D, Annex A and B).

(4) Keystone EJPME. This level addresses educational guidelines for CSELs at the grade of E9. The Keystone Course prepares CSELs for assignment in a flag level joint headquarters or Joint Task Force (See Enclosure E, Appendix D, Annex B).

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ANNEX TO APPENDIX TO ENCLOSURE A

ENLISTED PROFESSIONAL MILITARY EDUCATION (EPME) CONTINUUM

Grade	E1-E3	E4-E6	E6-E7	E8-E9	E9
EDUCATION LEVEL	INTRODUCTORY	PRIMARY	INTERMEDIATE	SENIOR	EXECUTIVE
Educational Institutions Courses & Opportunities	• Service Initial Entry Training • Basic Development Schools and Courses	• PME Academies, Schools, & Courses	• PME Academies, Schools, & Courses • SEJPME I Course	• PME Academies, Schools, Courses, Seminars, Symposiums, & Conferences • JSOU JSOFSEA • SEJPME II Course	• PME Academies, Schools, Courses, Seminars, Symposiums, & Conferences • NDU KEYSTONE
Emphasized Levels of War	TACTICAL		OPERATIONAL		STRATEGIC
Focus of Military Education and Professional Development Programs	• Followership & Fundamentals of Leadership • Establish Tactical Warfighter Skills • Service-specific Competencies	• Leadership & Management Skills in Service and MOS/ AFSC/RATING • Expand Tactical Warfighting Skills • Small Team/Unit Leadership	• Advanced Leadership & Management Skills in Service and MOS/AFSC/RATING • Advanced Tactical Warfighting Skills • Introduce Operational Level of War • Unit / Organizational Leadership	• Advanced Leadership & Management Skills in a Joint Environment • Expand Operational Level of Warfighting • Introduction to Interagency & Multinational Operations • Organizational & Command Senior Enlisted Leadership	• Advanced Leadership & Management Skills in a Joint Environment • Introduction to Strategic Theater Level of Warfighting • Expand Interagency & Multinational Operations • Command Senior Enlisted Leadership
Career Long Development (EDLAs)	Operate on commander's intent and enable mission command at all levels Make sound ethical decisions based on the values and standards of the profession of arms Utilize available resources to enhance the discipline, readiness, resiliency, and health of the total force Anticipate, communicate, and mitigate risks Operate in joint, interagency, intergovernmental, and multinational environments Think critically and develop agile and adaptive leaders				
Joint Emphasis Areas	**Basic** • National Military Capabilities • Joint Forces Overview • Joint Forces Non-Commissioned and Petty Officer • Introduction to JIIM		**Senior** • National Strategic Overview • JIIM • Foundations of Joint Operations • Joint Force Leadership **Career** • National Strategic Overview • National Military Capabilities and Organization • Foundations of Joint Operations • Joint Forces Overview • Regional Knowledge and Operational Culture • Joint Force Leadership		**KEYSTONE** • National Military Capabilities and Organization • Joint Doctrine • JIIM Capabilities • Joint Force Leadership

Table 1. Enlisted Military Education Continuum

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ENCLOSURE B

POLICIES FOR ENLISTED PROFESSIONAL MILITARY EDUCATION (EPME) PROGRAMS

1. General. This enclosure outlines policies applicable to EPME programs.

2. Curricula. Basic and career EPME curricula are not envisioned as stand-alone courses. The Services should embed the appropriate JLAs and JLOs in EPME programs including formal schooling, job aids, promotion guides, and web-based courses as deemed appropriate. EPME curriculum should include:

a. Mission-specific courses appropriate to the Service.

b. EJPME conducted within the context of the Service school mission. Enclosure E identifies the JLAs and JLOs for basic and career EPME emphasis areas.

3. Delivery Methods. Services use a mix of resident and non-resident instruction and other tools to educate and train enlisted personnel. The Services may choose methodologies and techniques appropriate to their Service, subject content, and student populations.

4. Incorporating Joint Learning in Enlisted Professional Military Education (EPME) Programs). Service schools are instructed to meet the joint learning objectives IAW this policy. Curricula and related educational products and materials should support learning objectives. The specific methodology and techniques employed to achieve the joint learning objectives are left to the discretion of the individual Service.

5. Instructor Exchange Programs. Services are encouraged to seek opportunities that allow instructor exchanges. Ultimately, opportunities such as these will broaden instructor competence in EJPME material, as well as inculcate a greater appreciation of the joint force.

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ENCLOSURE C

ENLISTED JOINT PROFESSIONAL MILITARY EDUCATION (EJPME) REVIEW PROCESS

1. Overview. A continual ongoing review of EJPME satisfies CJCS oversight requirements and guarantees the effectiveness of the programs. Three components make up the process:

a. Feedback Mechanisms

b. Update Mechanisms

c. EJPME Assessments

2. Feedback Mechanisms. Feedback on EPME curricula currency, quality, and validity is available from a variety of sources. These sources include the combined actions of the individual schools, joint education conferences, Enlisted Military Education Review Council (EMERC) meetings, Defense Senior Enlisted Leaders Conference (DSELC), and formal feedback systems used by the various PME institutions.

a. Service Training and Education Commands. Each Service should have a well-defined, vigorous curriculum review program that accommodates near- and long-term changes in the EPME environment. Periodic reviews should be used as a basis to make transformational improvements to EPME programs while concurrently considering changes in doctrine and operational concepts such as the Capstone Concept for Joint Operations.

b. Enlisted Military Education Review Council. This advisory body consists of EMERC Principals. The EMERC serves as an advisory body to the Joint Staff, Director for Joint Force Development (DJ7) on enlisted joint education issues. The EMERC addresses issues of interest to the joint education community, promotes cooperation and collaboration among EMERC member institutions, and coordinates joint education initiatives.

(1) EMERC Principals. The EMERC Principals are: the Joint Staff, J-7 Deputy Director, Joint Education and Doctrine (DD JED); Senior Enlisted Advisor to the Chairman (SEAC); the Command Sergeant Major, U.S. Army Training and Doctrine Command; Director, Navy Senior Enlisted Academy; Command Chief Master Sergeant, Air Education and Training Command or Chief, Air Force Enlisted Developmental Education; Sergeant Major, Marine Corps University; Representative; USCG Headquarters Office of Leadership and Professional Development; Representative, National Defense University; and Command Sergeant Major, Joint Special Operations University. The EMERC

Co-Chairmen, DD JED and SEAC, may invite representatives from Combatant Commands (CCMDs) and other organizations as appropriate.

(2) EMERC Meetings. The J-7 DD JED and SEAC will convene an EMERC meeting at least annually. The J-7 DD JED, in coordination with the SEAC, will approve and distribute meeting minutes for all EMERC principals and other stakeholders.

3. Update Mechanisms. The EPME update process involves all levels of the EPME system and the using communities (i.e., Services, CCMDs, and relevant DOD agencies).

a. Policy Review. The DD JED will initiate a thorough review of CJCS policies as reflected in this instruction every five years. The review will involve the Joint Staff, the Services, CCMDs, EPME institutions, and other affected agencies.

b. Curricula Reviews. Each Service will regularly review its EPME curriculum and initiate revisions as needed to remain current, effective, and in compliance with policy guidance.

c. Program Reviews. Periodic reviews, discussions, and revisions of joint educational curricula enhance the education and training of all enlisted personnel. The EPME review process articulates the components necessary to ensure that EPME in general and EJPME in particular, are current and properly implemented.

(1) Each Service will provide a review of its EPME program in general and its EJPME program in particular during EMERC meetings, or as requested by DD JED or SEAC.

(2) The EMERC will periodically review the curricula of the CJCS-sponsored SEJPME and KEYSTONE courses. These reviews ensure meeting the prescribed joint educational requirements for the courses and remain relevant. The results of these assessments will be used to update the respective courses as appropriate.

d. Joint Enlisted Curriculum Conference (JECC). The JECC is an annual conference for curriculum developers/designers from both the Service and Joint communities to meet and discuss EJPME issues. Its mission is to gain efficiencies in developing new joint curricula and updating current curricula by sharing technology and ideas. Joint Staff J7 Deputy Directorate for Joint Training (DD JT) chairs the JECC meetings. Updates and initiatives resulting from the JECC are forwarded to the EMERC for information and action.

e. Defense Senior Enlisted Leaders Conference (DSELC). The DSELC is an annual executive level conference comprised of the SEAC, Service Senior Enlisted Advisors (SSEAs), SEA NGB, and the CSELs of the Combatant Commands that meet to address enlisted items impacting the Joint Force. Issues include but are not limited to training and education. DSELC provides guidance and shaping initiatives to the EMERC, which influences the force.

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ENCLOSURE D

RESPONSIBILITIES

1. Overview. This enclosure outlines responsibilities within the U.S. Armed Forces for compliance with prescribed military education policies. Title 10, U.S.C., prescribes CJCS authority and responsibilities. Specific duties and responsibilities within the EPME system are pursuant to DOD and Military Department regulations.

2. General. The success of the EPME system is a shared responsibility of the CJCS and the Service Chiefs to:

a. Manage unique PME requirements.

b. Recognize the importance of a framework to integrate military education and individual training.

c. Ensure appropriate joint emphasis in the education of all enlisted personnel, regardless of billet.

d. Ensure proper attention is given to total force requirements relative to PME.

e. Provide opportunities for joint education for all enlisted leaders assigned to a joint billet.

3. Chairman of the Joint Chiefs of Staff (CJCS). The Chairman is responsible for the following:

a. Formulating policies for coordinating the military education of members of the U.S. Armed Forces.

b. Advising and assisting the Secretary of Defense by periodically reviewing how the Services have integrated JPME into their respective PME programs.

c. Providing primary oversight of the joint educational process.

d. Serving as the principal military adviser to the Secretary of Defense on PME matters.

e. On request, periodically and as available, providing Joint Staff action officers from the various directorates as subject matter experts to provide

schools with briefings, lectures, and papers to enhance and extend the PME process.

4. Service Chiefs. Each Service Chief is responsible for managing the content, quality, and conduct of the Service's PME programs at all levels within the guidelines of the military educational framework and, where appropriate, implementing policies contained in this document. Service Chiefs, through Service Training and Education organizations, will ensure their EMERC principals provide updates on Service EPME and EJPME programs to the EMERC.

5. Senior Enlisted Advisor to the Chairman (SEAC). SEAC is responsible for the following:

a. Providing assessments, recommendations, and feedback to the Chairman, Vice Chairman, Director of the Joint Staff, and Joint Staff Directors on standards, professional development, and other areas that affect the total force.

b. Developing and enhancing Enlisted Joint Professional Military Education (EJPME).

c. Serving as Co-Chairman of the EMERC

d. Serving as principal member to Keystone annual review.

e. In concert with DJ-7 and NDU-P, oversees the CJCS-sponsored Keystone course and SEJPME I and II online courses.

6. Service Senior Enlisted Advisors (SSEAs). SSEAs advise the Service Chiefs on enlisted matters and have an inherent interest in the education and training of enlisted personnel. SSEAs also serve as members of the DSELC, along with CSELs for the Combatant Commands.

7. Director for Joint Force Development, Joint Staff (DJ-7). The DJ-7 will supervise the DD JED and DD JT.

8. Deputy Director, Joint Education and Doctrine, Joint Staff, J-7 (DD JED). The DD JED is responsible for the following:

a. Assisting with policy formulation for coordinating the military education of the U.S. Armed Forces.

b. Reviewing and recommending EJPME revisions.

c. Coordinating the periodic review of all EJPME curricula for the Chairman.

d. Coordinating for the Joint Staff on reports dealing with military education.

e. Serving as the Co-Chairman of the EMERC with SEAC.

f. Coordinating with NDU on the execution, funding, and annual review of KEYSTONE program.

9. Deputy Director, Joint Training, Joint Staff, J-7 (DD JT). The DD JT is responsible for the following:

a. Execute SEJPME I and II.

b. Coordinate with DD JED and NDU, on issues related to EJPME.

c. Review and recommend EJPME policy revisions to DD JED.

d. Resource SEJPME in Program Objective Memorandum (POM) submissions.

e. Coordinate and serving as chairman of the JECC.

10. U. S. Special Operations Command (USSOCOM)/Joint Special Operations University (JSOU). Due to their Service-like responsibilities, USSOCOM/JSOU will provide appropriate representatives for participation in the EMERC.

11. President, National Defense University (NDU). The President, NDU, will:

a. In coordination with the office of the SEAC, execute the Keystone program not less than two iterations per academic year.

b. Provide subject matter expertise to update and maintain current SEJPME courses.

c. Coordinate with DD JT to ensure compatibility between the SEJPME courses and the Joint Forces Staff College (JFSC) Joint and Combined Warfare School's (JCWS) JPME and AJPME courses.

d. Provide subject matter expertise regarding the development and maintenance of JLAs and JLOs.

e. Provide appropriate representatives for the EMERC.

f. Resource Keystone in POM submissions.

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ENCLOSURE E

ENLISTED JOINT PROFESSIONAL MILITARY EDUCATION (EJPME)

1. General. This enclosure provides common educational standards, taxonomy of desired levels of learning achievement, and JLOs for the three levels of EJPME.

2. Common Educational Standards. The following describes common educational standards for all EPME institutions the Chairman considers essential for satisfactory resident and non-resident programs. Each standard is described primarily in qualitative terms, since no particular organizational pattern or application strategy applies in all settings.

a. Standard 1 -- Develop Joint Awareness, Perspective, and Attitudes. EJPME curricula should prepare students to operate in a joint, interagency, and multinational environment and bring a joint perspective to bear while performing in tactical, operational, and strategic environments.

b. Standard 2 -- Assess Student Achievement. Each institution should aggressively assess its students' performance. Educational goals and objectives should be clearly stated and students' performance should be measured against defined institutional standards by appropriate assessment tools to identify whether desired educational outcomes are being achieved.

c. Standard 3 -- Assess Program Effectiveness. Institutions should analyze student performance for indicators of program effectiveness. Results of these analyses should be used to refine or develop curricula that continue to meet evolving mission requirements in the context of an ever-changing world. Curricula should be the product of a regular, rigorous, and documented review process.

3. Levels of Learning Achievement. See Appendix A to Enclosure E.

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APPENDIX A TO ENCLOSURE E

LEARNING OBJECTIVE VERBS

1. Levels of Learning Achievement. Tables 2 and 3 lists descriptive verbs that constitute a useful hierarchy of possible levels of learning. The verbs are used to define the JPME objectives in the following appendices.

Level	**Illustrative Level**	**Definitions**
Knowledge	Arrange, define, describe, identify, know, label, list, match, memorize, name, order, outline, recognize, relate, recall, repeat, reproduce, select, state	Remembering previously learned information
Comprehension	Classify, comprehend, convert, define, discuss, distinguish, estimate, explain, express, extend, generalize, give example(s), identify, indicate, infer, locate, paraphrase, predict, recognize, rewrite, report, restate, review, select, summarize, translate	Grasping the meaning of information
Application	Apply, change, choose, compute, demonstrate, discover, dramatize, employ, illustrate, interpret, manipulate, modify, operate, practice, predict, prepare, produce, relate, schedule, show, sketch, solve, use, write	Applying knowledge to actual situations
Analysis	Analyze, appraise, break down, calculate, categorize, classify, compare, contrast, criticize, derive, diagram, differentiate, discriminate, distinguish, examine, experiment, identify, illustrate, infer, interpret, model, outline, point out, question, relate, select, separate, subdivide, test	Breaking down objects or ideas into simpler parts and seeing how the parts relate and are organized
Synthesis	Arrange, assemble, categorize, collect, combine, comply, compose, construct, create, design, develop, devise, explain, formulate, generate, plan, prepare, propose, rearrange, reconstruct, relate, reorganize, revise, rewrite, set up, summarize, synthesize, tell, write	Rearranging component ideas into a new whole
Evaluation	Appraise, argue, assess, attach, choose, compare, conclude, contrast, defend, describe, discriminate, estimate, evaluate, explain, judge, justify, interpret, relate, predict, rate, select, summarize, support, value	Making judgments based on internal evidence or external criteria

Table 2. Cognitive Domain (Mental Skills)

Level	Illustrative Level	Definitions
Receiving	Ask, choose, describe, follow, give, hold, identify, locate, name, point to, select, sit, erect, reply, use	Awareness, willingness to hear, selected attention
Responding	Answer, assist, aids, comply, conform, discuss, greet, help, label, perform, practice, present, read, recite, report, select, tell, write	Active participation on the part of the learners. Attends and reacts to a particular phenomenon. Learning outcomes may emphasize compliance in responding, willingness to respond, or satisfaction in responding (motivation).
Valuing	Complete, demonstrate, differentiate, explain, follow, form, initiate, invite, join, justify, propose, read, report, select, share, study, work	The worth or value a person attaches to a particular object, phenomenon, or behavior. This ranges from simple acceptance to the more complex state of commitment. Valuing is based on the internalization of a set of specified values, while clues to these values are expressed in the learner's overt behavior and are often identifiable
Organization	Adhere, alter, arrange, combine, compare, complete, defend, explain, formulate, generalize, identify, integrate, modify, order, organize, prepare, relate, synthesize	Organizes values into priorities by contrasting different values, resolving conflicts between them, and creating a unique value system. The emphasis is on comparing, relating, and synthesizing values
Internalizing	Act, discriminate, display, influence, listen, modify, perform, practice, propose, qualify, question, revise, serve, solve, verify	Has a value system that controls their behavior. The behavior is pervasive, consistent, predictable, and most importantly, characteristic of the learner. Instructional objectives are concerned with the student's general patterns of adjustment (personal, social, emotional)

Table 3. Affective Domain (Growth in feelings or emotional areas)

APPENDIX B TO ENCLOSURE E

BASIC ENLISTED PROFESSIONAL MILITARY EDUCATION (EPME) LEARNING AREAS AND OBJECTIVES

1. Overview. The Basic EPME level addresses the progressive educational guidelines that should be completed by the time service members reach the E6 pay grade.

2. Focus. Provides introduction to an enlisted member's respective Service; develops knowledge of the basic U.S. defense structure, roles, and functions of other Services and the CCMD structure; and familiarizes the enlisted person with the world's major regions, and the cultures found in those regions.

3. Learning Areas and Objectives

a. LA 1 -- National Military Capabilities and Organization

(1) Know the origin of and organization for national security and how defense organizations fit into the overall structure.

(2) Know the Combatant Commands and their primary functional and geographic area of responsibility.

(3) Know the organization, role, and functions of the Joint Chiefs of Staff.

(4) Know the two distinct chains of command through which the President and the Secretary of Defense exercise their authority and control of the Armed Forces.

(5) Know the military roles in homeland defense (HLD) and civil support (CS) missions.

b. LA 2 -- Joint Forces Overview

(1) Know the primary roles and functions of the Services.

(2) Know the organizations that contribute to JIIM operations.

(3) Comprehend the capabilities each agency contributes to the unified action.

c. LA 3 – Joint Forces Non-Commissioned and Petty Officer

(1) Know the roles and responsibilities of non-commissioned and petty officers.

(2) Comprehend and understand the responsibilities inherent to the Profession of Arms.

(3) Know the core values of the Services.

(4) Comprehend the role and use of Commander's Guidance and Intent (Mission Command) to achieve mission accomplishment.

(5) Comprehend sound ethical decision-making based on the values and standards of the Profession of Arms.

APPENDIX C TO ENCLOSURE E

CAREER ENLISTED PROFESSIONAL MILITARY EDUCATION (EPME) LEARNING AREAS AND OBJECTIVES

1. Overview. Career EPME supports the leadership development for all enlisted leaders, typically in grades E6/7 through E9.

2. Focus. This emphasis area builds upon the knowledge provided in basic EPME; adds JLAs that introduce joint operations; and provides a more comprehensive national strategic overview.

3. Learning Areas and Objectives

a. LA 1 -- National Military Capabilities and Organization

(1) Know the origin of and organization for national security and comprehend how defense organizations fit into the overall structure.

(2) Know the Combatant Commands and comprehend their primary functional and geographic area of responsibility.

(3) Comprehend the organization, role, and functions of the Joint Chiefs of Staff.

(4) Comprehend the two distinct chains of command through that the President and the Secretary of Defense exercise their authority and control of the Armed Forces.

(5) Comprehend the primary roles, functions, and capabilities of the Services, and how they work together to support Combatant Commands and sub-unified commands.

b. LA 2 -- Joint Forces Overview

(1) Know the Services' typical command, organization, and formation structures.

(2) Know where to find applicable uniform references for all Services.

(3) Know the general customs and courtesies of the Services and applicable references.

c. LA 3 -- Foundations of Joint Operations

(1) Know fundamentals of both traditional and irregular warfare in a joint environment.

(2) Comprehend how the U. S. military is organized to plan, execute, sustain, and train for JIIM operations.

(3) Know the Joint Operations and Planning Execution System (JOPES) and its linkage to the individual Service contingency and crisis action planning systems.

(4) Know fundamentals of information operations.

(5) Comprehend the military roles in HLD and CS missions.

(6) Comprehend the principles of joint operations, joint military doctrine, and emerging concepts in peace, crisis, war, and post-conflict to include traditional and irregular warfare.

(7) Comprehend joint learning resources (references, doctrine, concepts, etc.).

(8) Apply leadership in a JIIM environment.

d. LA 4 -- National Strategic Overview

(1) Know the National Security Strategy and its relationship to the National Military Strategy.

(2) Know the instruments of national power (diplomatic, informational, military, and economic) and how their use achieves national goals and objectives.

(3) Know the National Military Strategy.

(4) Know the relationships among the strategic, operational, and tactical levels of war.

e. LA 5 -- Regional Knowledge and Operational Culture

(1) Know key elements of the dominant culture(s) in each of the world's major regions.

(2) Know how international organizations and other non-state actors influence the world's major regions.

(3) Comprehend the importance of regional and cultural awareness in a JIIM environment to include its influence on Joint Operations.

(4) Comprehend the influence of international organizations and other non-state actors on military operations.

f. LA 6 -- Joint Force Leadership

(1) Comprehend the skills needed to lead a joint, interagency, intergovernmental, or multi-national task force in accomplishing operational level missions across the range of military operations, to include traditional and irregular warfare.

(2) Comprehend the ethical dimension of operational leadership and the challenges that it may present.

(3) Recognize the skills required of senior enlisted in leading personnel to include the training and development of subordinates, an understanding of standards and Service cultures, and the various stresses that impact the force.

(4) Comprehend the various programs that enable care and sustainment of the joint force to include warrior and family care.

(5) Comprehend the Senior Enlisted role in commander's intent.

(6) Comprehend the importance of the ability to anticipate, communicate, and mitigate risks.

(7) Comprehend the Senior Enlisted role in developing agile and adaptive leaders who think critically.

(8) Recognize the Senior Enlisted role in promoting sound ethical decisions based on values and standards of the profession of arms.

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APPENDIX D TO ENCLOSURE E

SENIOR ENLISTED JOINT PROFESSIONAL MILITARY EDUCATION (SEJPME) LEARNING AREAS AND OBJECTIVES

1. Overview. SEJPME provides CJCS-sponsored assignment-oriented educational opportunities for enlisted leaders serving in, or designated to serve in, joint and combined organizations. SEJPME, previously hosted by JFSC, will be revised into two courses herein referred to as SEJPME I and II and hosted by JKO in 2015. SEJPME I and II will consist of two separate curriculums. SEJPME I will emphasize curriculum commensurate with E6/E7 Joint Assignment responsibilities. SEJPME II will emphasize curriculum commensurate with E8/E9 Joint Assignment responsibilities. SEJPME I requirements should be completed prior to beginning SEJPME II. Completion of JFSC's SEJPME satisfies only SEJPME I requirements.

2. Focus. See Annexes A, B, and C.

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ANNEX A TO APPENDIX D TO ENCLOSURE E

SENIOR ENLISTED JOINT PROFESSIONAL MILITARY EDUCATION (SEJPME) I COURSE JOINT LEARNING AREAS AND OBJECTIVES

1. Overview. Provides CJCS-sponsored, assignment-oriented educational opportunities for enlisted leaders in grades E-6/E-7 serving in, or potentially to serve in, joint and combined organizations.

a. SEJPME I consists of approximately 45 hours of online instruction.

b. Prospective SEJPME students should have already successfully completed their Services' appropriate grade PME/EJPME before enrolling in the course.

2. Focus. To prepare enlisted leaders in grades E-6/E-7 assigned to joint organizations to successfully support activities and lead members of multiple Services and better understand operating in a joint environment.

3. Learning Areas and Objectives

a. LA 1 -- National Strategic Overview

(1) Recognize the process of formulating U.S. national security, strategic guidance, and doctrine.

(2) Recognize the formal processes used within the Department of Defense to integrate strategy, resources, and contingency planning.

(3) Recognize the organization and functions of the primary elements of the national military command structure.

b. LA 2 -- Joint Interagency, Intergovernmental, and Multinational Capabilities

(1) Comprehend the primary roles, missions, history, customs, and courtesies of the U.S. Armed Forces.

(2) Comprehend the makeup of the NSC and its role in securing interagency coordination of national security policy.

(3) Comprehend why the interagency process is important to the military commander and planner.

(4) Comprehend the formal and informal ways the interagency process works.

(5) Comprehend the challenges involved in planning multinational operations.

(6) Comprehend the planning considerations to achieve unity of effort in multinational operations.

(7) Value a joint perspective and appreciate the increased power available to commanders through JIIM efforts and teamwork.

c. LA 3 -- Foundations of Joint Operations

(1) Comprehend the principles of joint operations, joint military doctrine, and emerging concepts in peace, crisis, war, and post-conflict to include traditional and irregular warfare.

(2) Comprehend how factors such as geopolitics, geostrategic, society, religion, region, and culture play in shaping planning and execution of joint force operations across the range of military operations, to include traditional and irregular warfare.

d. LA 4 -- Joint Force Leadership

(1) Recognize the various programs that enable care and sustainment of the joint force to include warrior and family care.

(2) Recognize the various stresses that affect the joint force and mechanisms for mitigating them.

(3) Recognize the fundamentals of joint force development.

(4) Value personal resilience and its link to force readiness by emphasizing the responsibility of personnel at all levels to build and maintain resilience.

(5) Value jointness and the increased capability available to commanders through the integration of diverse cultures, efforts, and teamwork based upon the Profession of Arms and other shared professional and ethical values.

(6) Recognize the approaches related to the ability to anticipate, communicate, and mitigate risks.

(7) Recognize the Senior Enlisted role in developing agile and adaptive leaders who think critically.

(8) Comprehend how Senior Enlisted leaders can provide relevant assessments of decisions and directives to commanders and staff regarding the impact of the force.

(9) Recognize the knowledge and skills needed to lead personnel in a JIIM task force in accomplishing operational missions across the range of military operations to include traditional and irregular warfare.

(10) Recognize the ethical dimension of JIIM leadership and the challenges it may present.

(11) Comprehend the ethical and legal ramifications of decisions made by military leaders (i.e. espionage, toxic leaders, sexual harassment and assault, etc.).

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ANNEX B TO APPENDIX D TO ENCLOSURE E

SENIOR ENLISTED JOINT PROFESSIONAL MILITARY EDUCATION (SEJPME) II COURSE JOINT LEARNING AREAS AND OBJECTIVES

1. Overview. Provides CJCS-sponsored, assignment-oriented educational opportunities for enlisted leaders in grades E-8/E-9 serving in, or slated to serve in, joint and combined organizations.

a. SEJPME II consists of approximately 45 hours of online instruction.

b. Prospective SEJPME II students should have already successfully completed their Services' appropriate grade PME and SEJPME I before enrolling in the course.

2. Focus. To prepare enlisted leaders in the grades of E-8/E-9 assigned to joint organizations to successfully support activities and lead members of multiple Services.

3. Learning Areas and Objectives

a. LA 1 -- National Strategic Overview

(1) Comprehend the process of formulating U.S. national security, strategic guidance, and doctrine.

(2) Comprehend the formal processes used within the Department of Defense to integrate strategy, resources, and contingency planning.

(3) Comprehend the organization and functions of the primary elements of the national military command structure.

b. LA 2 -- Joint Interagency, Intergovernmental, and Multinational Capabilities

(1) Comprehend the importance of inter-organizational and multinational coordination.

(2) Comprehend the insights and best practices of inter-organizational coordination.

(3) Comprehend how leaders organize the Joint Task Force and establish command relationships to effectively accomplish the Joint mission.

(4) Comprehend how leaders overcome the challenges of Joint Task Force organization, staff integration, and battle rhythm development at operational headquarters in a complex environment.

(5) Comprehend the best practices for prioritizing and allocating resources at CCMDs and Joint Task Force HQs.

c. LA 3 -- Foundations of Joint Operations.

(1) Know the intentions or purpose of joint operations.

(2) Comprehend the fundamentals of joint operations.

(3) Comprehend the joint functions and how they help joint force commanders integrate, synchronize, and direct joint operations.

(4) Comprehend Authorities.

(5) Comprehend CCIR at the operational level.

(6) Comprehend the joint operational planning process.

(7) Comprehend the importance and best practices on joint force sustainment at the operational level of war and the necessity to maintain prolonged operations through mission accomplishment.

(8) Comprehend the insights and best practices in gaining and sharing information and knowledge at the operational headquarters.

(9) Understand the challenges of design and planning as it relates to the commander's decision cycle.

(10) Comprehend the challenges and best practices of joint intelligence operations across all levels of war.

(11) Comprehend the insights and best practices for the integration of lethal and non-lethal actions, including operational level command considerations.

d. LA 4 -- Joint Force Leadership

(1) Review the various programs that enable care and sustainment of the joint force to include warrior and family care.

(2) Comprehend the various stresses that affect the joint force and mechanisms for mitigating them.

(3) Understand the fundamentals of joint force development.

(4) Value personal resilience and its link to force readiness by emphasizing the responsibility of personnel at all levels to build and maintain resilience.

(5) Value jointness and the increased capability available to commanders through the integration of diverse cultures, efforts, and teamwork based upon the Profession of Arms and other shared professional and ethical values.

(6) Explain the approaches related to the ability to anticipate, communicate, and mitigate risks.

(7) Review the Senior Enlisted role in developing agile and adaptive leaders who think critically.

(8) Comprehend how Senior Enlisted leaders can provide relevant assessments of decisions and directives to commanders and staff regarding the impact of the force.

(9) Comprehend the knowledge and skills needed to lead personnel in a JIIM task force in accomplishing operational missions across the range of military operations to include traditional and irregular warfare.

(10) Comprehend the ethical dimension of JIIM leadership and the challenges it may present

(11) Explain the ethical and legal ramifications of decisions made by military leaders (i.e. espionage, toxic leaders, sexual harassment and assault, etc.).

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ANNEX C TO APPENDIX D TO ENCLOSURE E

KEYSTONE COURSE JOINT LEARNING AREAS AND OBJECTIVES

1. Overview. This course prepares CSELs for assignment in a flag officer joint headquarters and complements the G/FO CAPSTONE Course.

a. Before attending KEYSTONE, students shall have successfully completed the SEJPME II course. The SEJPME II distance learning course is not a replacement for KEYSTONE attendance.

b. Students who attend KEYSTONE should be ordered to or serving as a CSEL at a joint command.

c. Students who attend KEYSTONE will be nominated by their Service according to the KEYSTONE Tier list maintained by the office of the SEAC.

2. Focus. The focus of this course is to enable CSELs to think intuitively joint while serving as the CSEL in a G/FO joint organization.

3. Learning Areas and Objectives

a. LA 1 -- National Military Capabilities and Organization

(1) Comprehend the capabilities and limitations, employment, doctrine, and command structures that contribute to joint operations.

(2) Know the military roles in combating weapons of mass destruction, HLD, and Defense Support to Civil Authorities.

(3) Comprehend the military roles in information and cyber operations.

b. LA 2 -- Joint Doctrine

(1) Know the best practices in the current employment of joint doctrine in joint operations.

(2) Comprehend joint operational art.

(3) Comprehend the Unified Command Plan.

c. LA 3 -- Joint Interagency, Intergovernmental, and Multinational Capabilities

(1) Comprehend the value of joint perspective and the increased capabilities available to commanders through joint, interagency, and combined efforts.

(2) Comprehend JIIM capabilities and how these are best integrated to attain national security objectives across the range of military operations to include traditional and irregular warfare.

(3) Comprehend the relationship between the military and cabinet level departments, Congress, the National Security Council, DOD agencies, and the public.

(4) Comprehend emerging concepts that impact the joint warfighter.

(5) Value the comprehensive approach to joint operations.

(6) Comprehend how JIIM information and cyber operations, command and control, the security environment, and the contributions of all elements of national power are integrated in support of theater strategies.

(7) Apply an analytical framework that incorporates the role that geopolitics, geostrategy, region, society, culture, and religion play in shaping the desired outcomes of policies, strategies, and campaigns.

d. LA 4 -- Joint Force Leadership

(1) Analyze how Senior Enlisted leaders can provide relevant assessments of decisions and directives to commanders and staffs regarding the impact on the joint force.

(2) Evaluate the ethical and legal ramifications of national security decisions.

(3) Value jointness and the increased capability available to commanders through the integration of diverse JIIM cultures, efforts, and teamwork based upon the Profession of Arms and other shared professional and ethical values.

(4) Apply the Senior Enlisted role in promoting sound ethical decisions in joint operations.

(5) Analyze and apply the Senior Enlisted role in joint warfighting principles and concepts.

(6) Analyze and apply the ability to anticipate, communicate, and mitigate risks.

(7) Evaluate the Senior Enlisted role in developing agile and adaptive leaders who think critically and can apply joint warfighting principles in joint operations.

(8) Evaluate the decision making skills needed to make ethical decisions based on the Profession of arms and other shared professional and ethical values.

(9) Value the ability to anticipate and respond to surprise and uncertainty.

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ENCLOSURE F

REFERENCES

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GLOSSARY

PART I-ABBREVIATIONS AND ACRONYMS

Items marked with an asterisk (*) have definitions in PART II

AFSC	Air Force Specialty Code
APEX	Adaptive Planning and Execution
AJPME	Advanced Joint Professional Military Education
CCDR	Combatant Commander
CCIR	commanders critical information requirements
CCMD	Combatant Command
CJCS	Chairman of the Joint Chiefs of Staff
COCOM	Combatant Command (command authority)
CS	civil support
CSEL	command senior enlisted leader*
DD JED	Deputy Director, Joint Education and Doctrine, Joint Staff, J-7
DD JT	Deputy Director, Joint Training, Joint Staff, J-7
DJ7	Director for Joint Force Development, Joint Staff J-7
DLA	Desired Leader Attributes
DoD	Department of Defense
DSELC	Defense Senior Enlisted Leader Conference *
EDLA	Enlisted Desired Leader Attributes *
EJPME	Enlisted Joint Professional Military Education *
EMERC	Enlisted Military Education Review Council *
EPME	Enlisted Professional Military Education
EPMEP	Enlisted Professional Military Education Policy
G/FO	general/flag officer
HLD	homeland defense
IAW	in accordance with
JECC	Joint Education Curriculum Conference *
JCWS	Joint Combined Warfighting School
JFSC	Joint Forces Staff College
JIIM	Joint Interagency, Intergovernmental, Multinational
JKO	Joint Knowledge Online
JLA	Joint Learning Area
JLO	Joint Learning Objective
JOPES	Joint Operations Planning and Execution System
JPME	Joint Professional Military Education

JSOU	Joint Special Operations University *
J-7	Directorate for Joint Force Development, Joint Staff
LA	learning area
MOS	Military Occupational Specialty
NDU	National Defense University
NDU-P	National Defense University President
NGB	National Guard Bureau
PME	professional military education*
POM	Program Objective Memorandum
SEA	senior enlisted advisor *
SEAC	Senior Enlisted Advisor to the Chairman, Joint Chiefs of Staff
SEJPME	Senior Enlisted Joint Professional Military Education
SEL	senior enlisted leader *
SSEA	Service Senior Enlisted Advisors
UJTL	Universal Joint Task List
USCG	United States Coast Guard

PART II-DEFINITIONS

ability -- Power to perform an act, either innate or as the result of learning and practice.

attribute -- A quality or characteristic distinctive feature.

Command Senior Enlisted Leader -- Individual in the pay grade of E-9 who is serving as the commandvidsenior enlisted advisor in a general or flag officer command.

culture -- The distinctive and deeply rooted beliefs, values, ideology, historic traditions, social forms, and behavioral patterns of a group, organization, or society that evolves, is learned, and transmitted to succeeding generations.

cultural awareness -- A knowledge of the integrated patterns of human behavior that include the distinctive spiritual, intellectual, and emotional thoughts; communications; actions; customs; beliefs; and values of social groups and how they motivate a person or persons' conduct.

cultural knowledge -- Understanding the distinctive and deeply rooted beliefs, values, ideology, historic traditions, social forms, and behavioral patterns of a group, organization, or society; understanding key cultural differences and their implications for interacting with people from a culture; and understanding those objective conditions that may, over time, cause a culture to evolve.

Defense Senior Enlisted Leaders Conference (DSELC) -- An executive level committee comprised of the SSEAs and the CSELs to the Combatant Commanders.

Enlisted Desired Leader Attributes (EDLA) -- CJCS approved body of traits and qualities that should be emphasized and modeled across the U.S. Armed Forces with emphasis on the Enlisted Force. The six EDLAs are: (1) operate on commander's intent and enable mission command at all levels; (2) make sound ethical decisions based on the values and standards of the profession of arms; (3) utilize available resources to enhance the discipline, readiness, resiliency, and health of the total force; (4) anticipate, communicate, and mitigate risks; (5) operate in joint, interagency, intergovernmental, and multinational environments; and (6) think critically and develop agile and adaptive leaders.

Enlisted Joint Professional Military Education (EJPME) -- A CJCS-approved body of objectives, policies, and procedures supporting the educational requirements for enlisted personnel.

Enlisted Military Education Review Council (EMERC) -- The EMERC serves as an advisory body to the Joint Staff Director for Joint Force Development (DJ7) on enlisted joint education issues. This advisory body consists of EMERC Principals and observers. The EMERC addresses issues of interest to the joint education community, promotes cooperation and collaboration among EMERC member institutions, and coordinates joint education initiatives.

Enlisted Military Education Review Council (EMERC) Principals -- EMERC Principals. The EMERC Principals are: the Joint Staff, J-7 Deputy Director, Joint Education and Doctrine (DD JED); Senior Enlisted Advisor to the Chairman (SEAC); the Command Sergeant Major, U.S. Army Training and Doctrine Command; Director, Navy Senior Enlisted Academy; Command Chief Master Sergeant, Air Education and Training Command or Chief, Air Force Enlisted Developmental Education; Sergeant Major, Marine Corps University; Representative; USCG Headquarters Office of Leadership and Professional Development; Representative, National Defense University; and Command Sergeant Major, Joint Special Operations University. The EMERC Co-Chairmen, DD JED and SEAC, may invite representatives from Combatant Commands (CCMDs) and other organizations as appropriate.

individual joint training -- Training that prepares individuals to perform duties in joint organizations (e.g., specific staff positions or functions) or to operate uniquely joint systems (e.g., joint intelligence support systems). Individual joint training can be conducted by the Office of the Secretary of Defense, the Joint Staff, CCMDs, Services, reserve forces, National Guard, or combat support agencies. (Joint Training Policy)

Joint Enlisted Curriculum Conference (JECC) -- The JECC is an annual event for curriculum developers/designers from both the Service and Joint communities to meet and discuss EJPME issues. Its mission is to gain efficiencies in developing new joint curriculum and updating current curriculum by sharing technology and ideas. Joint Staff J7 Deputy Director for Joint Training /JKO chairs the meeting to be held as required, but not less than annually. Updates and initiatives resulting from the JECC are forwarded to the EMERC for information and action.

Joint Special Operations University (JSOU) -- The JSOU prepares Special Operations Forces to shape the future strategic environment by providing specialized JPME and EJPME. JSOU offers two distance learning courses appropriate for the E-6 to E-7 ranks, which are JSOU Joint Fundamentals and JSOU Enterprise Management. JSOU also offers the JSOU Summit course that is a blended learning course appropriate for SEAs at the G/FO level. These courses are Special Operations specific courses and are not to be confused with SEJPME I and II.

joint training -- Military training based on joint doctrine or joint tactics, techniques and procedures (TTP) to prepare individuals, joint commanders, a joint staff, and joint forces to respond to strategic and operational requirements deemed necessary by Combatant Commanders to execute their assigned missions. Joint training involves: forces of two or more Military Departments interacting with a Combatant Commander or subordinate joint force commander; joint forces and/or joint staffs; and/or individuals preparing to serve on a joint staff or in a joint organization. Joint training is conducted using joint doctrine or TTP. (Joint Training Policy)

professional military education (PME) -- PME conveys the broad body of knowledge and develops the habits of mind that are essential to the military professionalt commanders, a joint staff, aience of war.

senior enlisted advisor -- Enlisted such as the SEAC, Service SEAs, and NGB SEA, who serve as advisors to senior leaders in the Department of Defense.

senior enlisted leader -- Enlisted personnel typically in pay grades E-6/7 through E-9.

validation -- An assessment to determine whether the Service is implementing an acceptable program IAW the requirements outlined in policy guidance.

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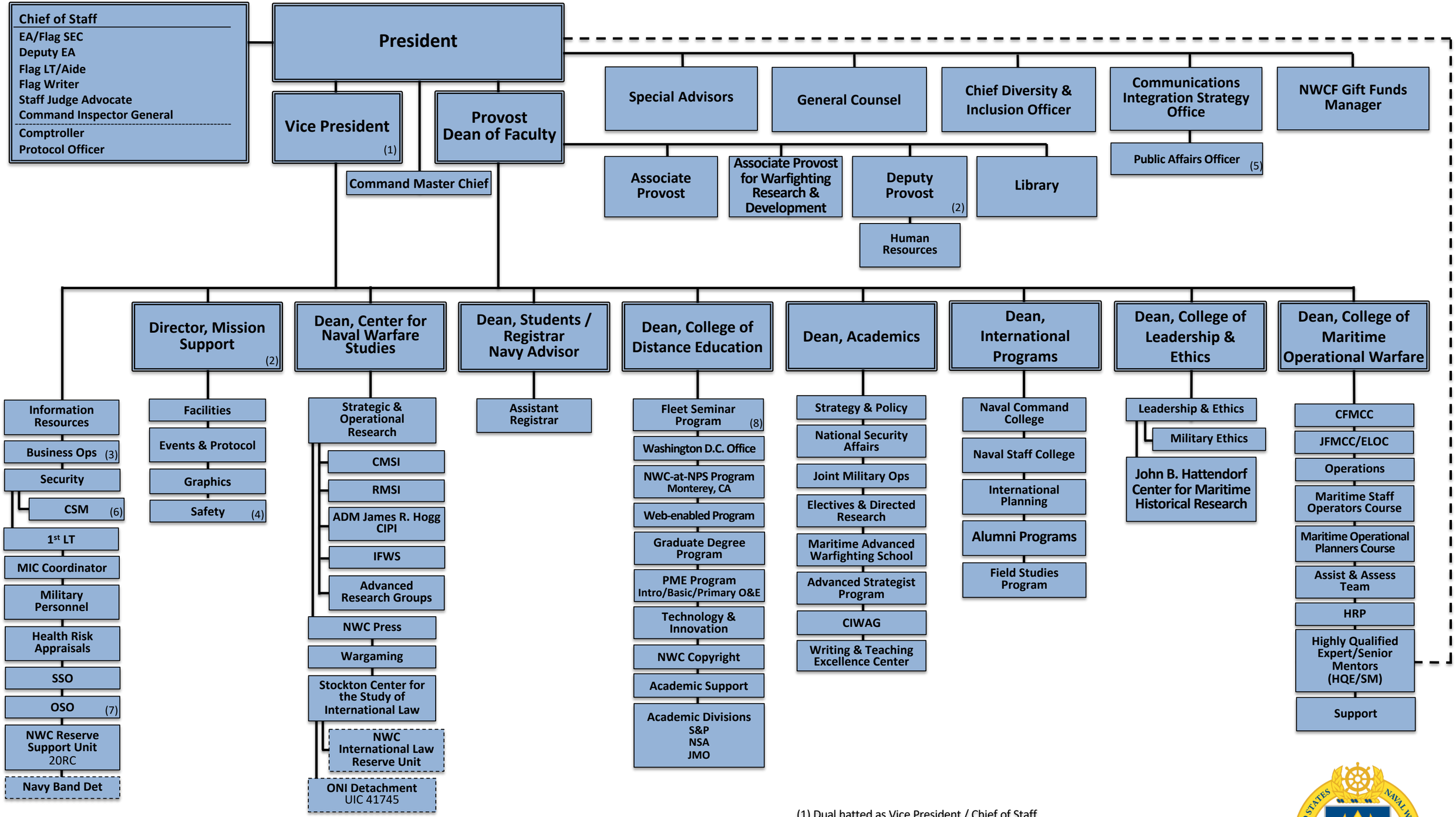
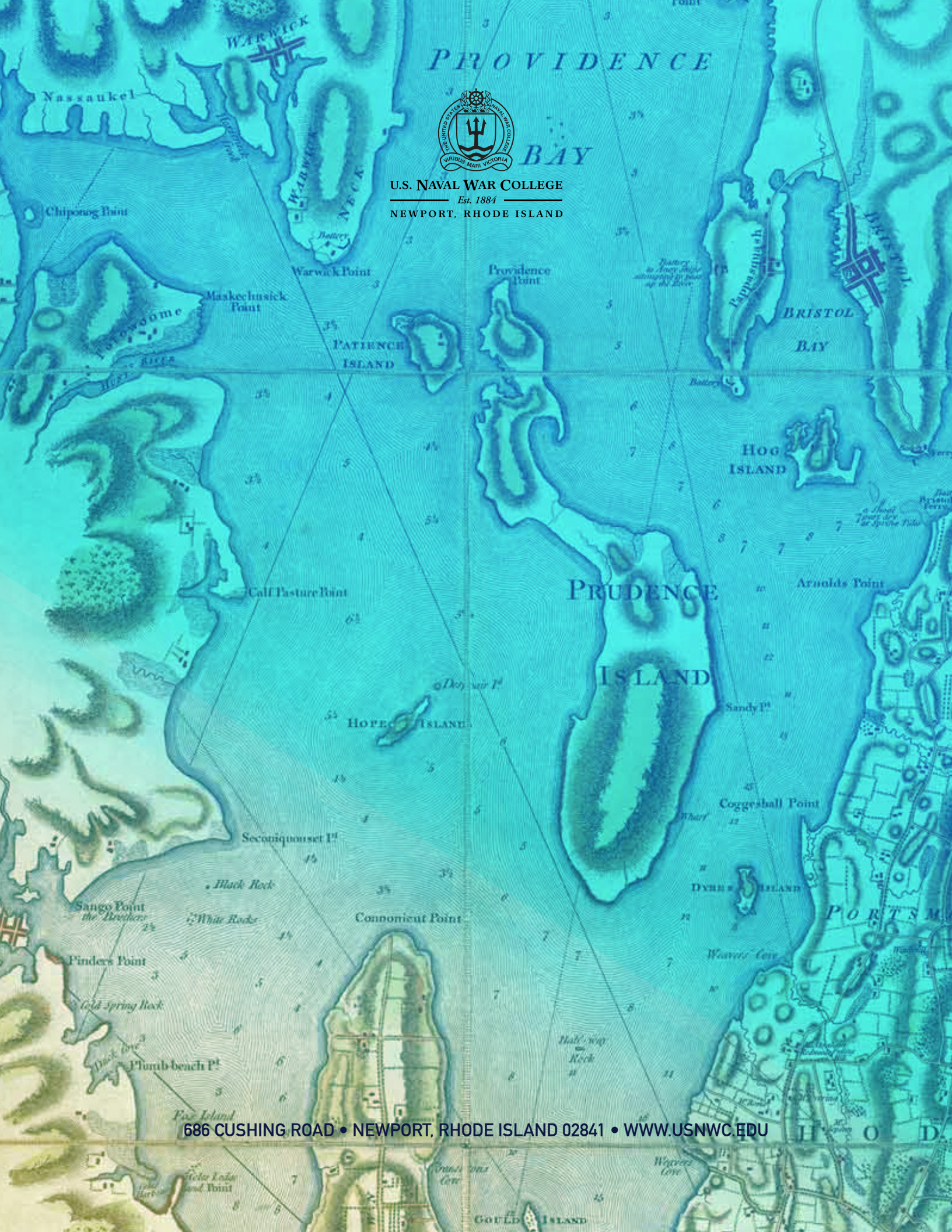


(1) Dual hatted as Vice President / Chief of Staff
(2) Dual hatted as Deputy Provost / Director, Mission Support
(3) Direct report to PNWC for 10 USC 1701-1734
(4) Direct report to PNWC for command-safety concerns
(5) Direct report to PNWC for matters set forth in SECNAVINST 5720.44C
(6) Direct report to PNWC for command CSM concerns
(7) Administrative support
(8) 19 CONUS locations

August 2019

(NWC Org Chart as of August 2019 (Q3_Rev1))



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