U.S. Naval War College

Faculty Handbook 2013

686 Cushing Road · Newport, Rhode Island 02841 · www.usnwc.edu

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 April 2013

The 2013 *Faculty Handbook* updates and entirely replaces the 2007 version. With the exception of Memorandum of Policy 11-02, "The Naval War College Flag Officer Development Program," all statements of academic policy (SAPs) and memorandums of policy (MOPs) issued since 2007 have been incorporated and are hereby canceled. Memorandum of Policy 04-05, "Faculty Appointments and Promotion" has also been incorporated. All future changes shall be made to the 2013 version.

RECORD OF CHANGES

CHANGE NUMBER	DATE ENTERED	NAME OF PERSON ENTERING CHANGE
Change 1	**July 2014**	**Richard Menard**
Change 2	**June 2015**	**Richard Menard**
Change 3	**November 2015**	**Richard Menard**
Change 4	**November 2015**	**Richard Menard**
Change 5	**November 2015**	**Richard Menard**
Change 6	**August 2016**	**Richard Menard**
Change 7	**August 2016**	**Richard Menard**
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CHAPTER I

ORGANIZATION AND GOVERNANCE

1. Introduction

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

(1) Educate and Develop Leaders: NWC shall provide current, rigorous, and relevant professional military education (PME) programs supporting the Navy's Professional Military Education Continuum. These PME programs must meet the standards required in law and policy and be accessible to the maximum number of qualified U.S. officers and Navy enlisted personnel, civilian employees of the U.S. Government, and international senior enlisted leaders and officers. The education should foster an active and growing community linked by PME including leadership with professional ethics that furthers global maritime security. The desired effect is a career continuum of PME, including leadership development and professional ethics, which produces a group of leaders of character. These leaders have trust and confidence in each other and are operationally and strategically minded, critical thinkers, proficient in joint matters, and skilled naval and joint warfighters prepared to meet the operational level of war (OLW) and strategic 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 Chief of Naval Operations (CNO), the combatant commanders, the Navy component commanders, the Navy's numbered fleet commanders, other Navy and Marine Corps commanders, the U.S. intelligence community, and other departments and agencies of the U.S. Government. The desired effect is a program of focused, forward-thinking, and timely research, analysis, and gaming that anticipates future operational and strategic challenges; develops and assesses strategic and operational concepts to overcome those challenges; assesses the risk associated with these concepts; provides analytical products that inform the Navy's leadership and help shape key decisions; and contributes effectively to the public discourse on U.S. national security policy.

(3) Support Combat Readiness: NWC shall conduct OLW education, leadership and professional ethics training, education, and assessment activities to support the ability of the Navy's joint force maritime component commanders (JFMCCs) 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 for including 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 staff members to plan, execute, and assess force employment

options in order to function cohesively within the context of 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 develop them for high command in their navies; promote an open exchange of views between international security professionals which encourages friendship and cooperation and builds trust and confidence; and study operational planning methods and common maritime security challenges. NWC shall develop research and gaming collaboration with its sister institutions in other navies and work to improve the general level of maritime research and analysis. The desired effect is to maintain and further strengthen the global maritime partnerships upon which the safety of the U.S. homeland and the secure flow of oceanic commerce depend.

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

(1) Echelon

(a) Chief of Naval Operations

(b) President, Naval War College, Newport, RI

(2) Regional Coordinator: Commander, Navy Region Mid-Atlantic, Norfolk, VA

c. Commanded, Tenant, Supported, and Supporting Activities and Detachments

(1) NWC, Newport, RI, hosts the following tenant activities:

(a) CHIEF OF NAVAL OPERATIONS STRATEGIC STUDIES GROUP

1. Parent command is CNO, Washington, DC.

2. Support provided is full program, facility, information technology, and administrative support, to include comptroller support in the administration of Strategic Studies Group funds.

3. Support received is none.

(b) OFFICE OF NAVAL INTELLIGENCE DETACHMENT

1. Parent command is Office of Naval Intelligence, Washington, DC.

2. Support provided is administrative and work space and various categories of reimbursable and non-reimbursable support.

3. Support received is intelligence support to the NWC's PME with embedded joint professional military education (JPME) programs and its research, analysis, and gaming programs.

(c) NAVAL DENTAL CLINIC DETACHMENT

1. Parent command is Naval Dental Clinic, Newport, RI.

2. Support provided is administrative and work space.

3. Support received is dental services for active military, staff, faculty, and students.

(d) NAVAL WAR COLLEGE NAVY RESERVE UNITS

1. Parent command is Naval War College.

2. Support provided is administrative and work space and various categories of support.

3. Support received is reserve manpower.

(e) SENIOR ENLISTED ACADEMY (SEA)

1. Parent command is Naval War College.

2. Support provided is academic, administrative, work space, and various categories of support; professional educational (i.e., pedagogical) support for curriculum matters (e.g., design, management, and delivery); professional educational support for SEA instructor development.

3. Support received is education of the senior enlisted force; non-reimbursable common administrative, logistical, and educational support services.

(f) NAVAL WAR COLLEGE MUSEUM

1. Parent command is Naval History and Heritage Command (NHHC), Washington, DC.

2. Support provided is administrative and work space and various categories of support as specified in the memorandum of agreement (MOA) between NHHC and NWC.

3. Support received is museum and curatorial services, to include the display, preservation, and interpretation of historical art, artifacts, and photos for exhibit at the NWC.

(g) NAVY BAND NORTHEAST

1. Parent command is Commander, Navy Personnel Command, Millington, TN.

2. Support provided is exercise operational command; administrative and work space and various categories of support.

3. Support received is band services.

(2) NWC, Newport, RI, 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, DC.

2. Support received is non-reimbursable common administrative and logistical support services, as outlined in the MOA between NWC and NPS.

(c) COMMANDANT, NAVAL DISTRICT WASHINGTON, WASHINGTON, DC

1. Parent command is Commander, Navy Installations Command, Washington, DC.

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

(d) NAVAL AND OTHER COMMANDS IN ADDITIONAL INSTRUCTIONAL LOCATIONS

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 Naval War College 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, Naval War College programs have been accredited by the Chairman, Joint Chiefs of Staff, 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, the College of Naval Command and Staff, and the

College of Distance Education (CDE). Each is measured against seven 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 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 Naval War College 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 Naval War College to award a Master of Arts Degree in National Security and Strategic Studies to U.S. graduates. This authority was grandfathered to graduates from 1985 and later. In March 1991, the New England Association of Schools and Colleges (NEASC) accredited the Naval War College 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 the Fleet Seminar students of the College of Distance Education. NEASC reaffirmed the College's accreditation in 2005 for a period of ten years.

2. Administration and Organization

The responsibilities and authority of all key personnel at the College, from the President, Provost, Associate Provost, the Deputy/Chief of Staff, deans, associate deans, assistant deans, and department chairs/directors, through division 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 College. The senior leadership team of the College consists of the President, the Provost, the Deputy/Chief of Staff, and deans. Below this level there is an expanded management group, described below, that includes the Associate Provost, assistant/associate deans, department chairs, directors, and advisors to the President.

a. President. The President is accountable for all operations of the College 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 President exercises oversight across all elements of the College, subject to policy

guidance from the Chief of Naval Operations. The President holds regular meetings with appropriate members of the senior leadership team and expanded management group in which the philosophy, policies, and issues facing the Naval War College are discussed. The President also maintains professional contacts with military and civilian institutions of higher learning and research in the United States and around the world.

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

b. Provost. The Provost is the principal deputy to the President and is responsible for the efficient accomplishment of mission functions and effective employment of the faculty, academic staff, civilian personnel, and student body. The Provost acts as the chief executor for the President and assumes the nonmilitary responsibilities of the President in his absence. Subject to the orders of the President, 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 Academic Affairs, is responsible for exercising effective oversight of and responsibility for periodic reaccreditation visits by representatives of the Chairman of the Joint Chiefs of Staff and the New England Association of Schools and Colleges. The Provost is also the Dean of Faculty. The deans, Special Advisor from the State Department, the Library Director, and the Director, Graduate Network for Lifelong Learning are responsible to the Provost.

c. Deputy/Chief of Staff. The position of Deputy/Chief of Staff is a multi-role position. First, the Deputy/Chief of Staff, the second most senior military member of the College, serves as principal military advisor to the President and, in the absence of the President, serves as the commander. Next, the Deputy/Chief of Staff serves a traditional chief of staff role and is responsible for the smooth and efficient operation of the President's personal staff on a day-to-day basis. Finally, the Deputy/Chief of Staff is responsible to the President for providing a variety of facilities, maintenance, and support services to the academic, research, leadership, international, and student components of the Naval War College, and to the CNO Strategic Studies Group.

d. Dean of Academic Affairs. The Dean of Academic Affairs is responsible for establishing suitable policies for the College's resident U.S. and international and nonresident PME programs and their associated programs that will facilitate the accomplishment of the College's mission, functions, and tasks in the context of the needs of the leadership of the Navy and reports directly to the Provost. The academic and military chairs and the directors of the Regional Studies Groups are responsible to the Dean. Specifically, the Dean of Academic Affairs is responsible for the following:

(1) Ensuring that these policies and the means chosen to implement them maintain and advance a set of resident U.S. and international and nonresident academic programs that meet the standards of the Chairman of the Joint Chiefs of Staff Officer Professional Military Education Policy and the New England Association of Schools and Colleges.

(2) In close collaboration with the Provost, assisting in exercising effective oversight of and responsibility for periodic reaccreditation visits by representatives of the Chairman of the Joint Chiefs of Staff and the New England Association of Schools and Colleges.

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

(4) Overseeing the preparation of course syllabi for resident and nonresident programs.

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

(6) Exercising effective oversight of the Program for Joint Education.

(7) Providing effective oversight of 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.

e. Dean of Naval Warfare Studies. The Dean of Naval Warfare Studies directs the Center for Naval Warfare Studies (CNWS) as the primary research, analysis, and gaming arm of the College 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 College by maintaining active contact with the staffs of the Chief of Naval Operations, 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 and international law 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. Additionally, 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.

f. Dean of Operational and Strategic Leadership. The College of Operational and Strategic Leadership (COSL), established in 2007, conducts

strategic planning and policy development for leadership and ethics education and character development as they pertain to the College's responsibility for developing leaders who are naval and joint warfighters prepared to meet the operational level of war and strategic challenges. The Dean also coordinates curriculum development efforts with the Dean of Academic Affairs, academic department chairs, the Director of the College of Distance Education, and the Associate Dean of Academic Affairs for Electives and Directed Research for the purposes of integrating leadership education into the various PME programs. The Dean reports directly to the Provost. COSL faculty teach and mentor students selected for the Stockdale Group, develop the annual leadership and ethics theme, and then execute the ethics conference and ongoing panels and speakers throughout the academic year. Further, COSL aims to improve the capability of Navy commanders to lead maritime, joint, and multinational forces as well as improve the capability of Navy staff members to plan, execute, and assess and to function cohesively as a maritime operations center. The faculty is focused on supporting combat readiness at the operational level of war through a series of tailored 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. COSL also provides direct assistance to fleet commanders and their staffs to improve command and control at the operational level of war.

g. <u>Dean of International Programs.</u> The Dean of International Programs coordinates and oversees Naval War College initiatives to sustain and strengthen navy-to-navy relationships, Joint Security Assistance Training plans, and 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 Academic Affairs, Directors of the Naval Command College (NCC) and the Naval Staff College (NSC), the Dean of Students, and the directors of the College's Regional Studies Groups (RSG). The Dean serves as the College'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. In coordination with the Dean of Academic Affairs the Dean oversees the planning and execution of NCC and NSC Field Studies Programs (FSP) visits; in coordination with the Dean of Students and the Directors of NCC and NSC, interviews and recommends U.S. officers to attend the NCC and NSC; supported by the Office of Protocol and Events, coordinates all aspects of visits by foreign dignitaries to the Naval War College, to include foreign war college visits, CNO equivalents, etc.; serves as the primary point of contact, planning officer, and permanent coordinating secretary for NWC participation in the Conference of the Naval War Colleges of the Americas; serves as the College'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 ISS; coordinates the College's liaison with sister-Service U.S. war colleges in regard to international programs; and oversees, in coordination with the Director of CDE, the enrollment of international officers in the College's distance education programs.

h. Dean of Students. The Dean of Students is responsible for all administrative tasks, excluding pay and service records, associated with the resident student body of the College of Naval Warfare and the College of Naval Command and Staff and reports directly to the Provost. Specific duties include responsibility for the general welfare of all U.S. students; coordinating with the deans, department chairs, Service advisors, and college directors in developing policy recommendations for the Provost and Dean of Academic Affairs; coordinating student involvement in various College committees; serving as the principal advisor for U.S. Navy and civilian students; preparing fitness reports for Navy students and end-of-term letter reports for all civilian students; and monitoring the quality of support services that are available to student personnel. Efficiency or fitness reports for officers in Services other than the Navy are prepared by their respective senior Service advisors. The Dean also liaises with the Director, Graduate Network for Lifelong Learning as part of an active program of alumni relations. The Dean of Students also functions as the College's Registrar.

i. Additional. The Provost and the deans are assisted by the Associate Provost, assistant/associate deans, department chairs, and directors, 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 President, 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 Academic Affairs, for planning, developing, and preparing the resident 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, the Senior Enlisted Academy, reservists, and others as approved by the President, Provost, or Dean of Academic Affairs. The chairs are responsible for coordinating the development of relevant curriculum material with the other departments for integration among courses of study within the Naval War College; 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 Academic

Affairs; 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 Academic Affairs in the academic activities of the Naval War College; providing membership to the Academic Policy Council (see paragraph 7b[2]); and performing other duties as designated by the Provost or Dean of Academic Affairs.

(b) *Director of the College of Distance Education and Academic Support*. The Director, in coordination with the academic department chairs, is responsible for the planning, developing, and preparing of the core courses to support the NWC distance education programs, and prepares and administers these courses via appropriate distance learning methodologies; directs and coordinates all nonresident programs; supervises CDE faculty and provides timely assessments of faculty performance; recruits new CDE civilian faculty members and makes nominations for faculty positions to the Provost via the Dean of Academic Affairs; supervises the CDE faculty in the conduct of the courses of study to ensure maximum coordination and effectiveness; ensures the selection, procurement, and distribution of all CDE course materials; ensures courses are regularly evaluated for currency and effectiveness; plans, budgets, and accounts for operating funds in a fiscally responsible manner; directs the administrative activities of the College of Distance Education; accounts for all materials used for all NWC distance education programs; coordinates the Naval War College at Naval Postgraduate School (NWC-at-NPS) partnership in JPME; coordinates all Naval War College efforts in development of new concepts and technology related to distance education; supports the Dean of Academic Affairs in providing oversight for College copyright requirements; provides direction and oversight of the administration of the Electives and Directed Research Program; and supports other academic endeavors at the Naval War College.

(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) *College of Operational and Strategic Leadership Program Directors.* The COSL program directors are responsible for the planning, development, coordination, and execution of all activities within their assigned programs, 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 College of Operational and Strategic Leadership; managing equipment resources; developing and executing sound budgets; leading respective programs through strategic and operational

growth; and maintaining liaison with resource sponsors as well as key military and civilian defense, industry, and educational representatives.

(e) *Directors of the Naval Command College and Naval Staff College*. The Directors of the two international colleges monitor the respective college curricula and coordinate with other departments as necessary; plan and conduct student orientation programs, active sponsor programs, Chief of Naval Operations FSP visits, and, liaising with and supported by the Director, Graduate Network for Lifelong Learning, 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.

(f) *Associate Dean of Academic Affairs for Electives and Directed Research*. The Associate Dean of Academic Affairs for Electives and Directed Research reports to the Dean of Academic Affairs. The Associate Dean designs the program, establishes the policy subject to the guidelines and direction of the Dean of Academic Affairs, and ensures that the program maintains the highest academic standards for both resident and nonresident Electives Programs.

(2) Administration and Support

(a) *Associate Provost*. The Associate Provost coordinates the Naval War College'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 Naval War College to meet the goals of the academic program and educational methodology as well as fulfill the requirements for the recertification by the New England Association of Schools and Colleges and the congressional and Department of Defense–mandated PAJE; plans, organizes, and manages self-study programs required for institutional progress and recertification; and serves as the key link to the New England Association of Schools and Colleges and as special assistant for joint professional educational matters.

(b) *Special Advisors*. The State Department and the 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 their organizations' interests and personnel as they relate to the Naval War College, its mission, and curricula. Advisors also serve as faculty members in teaching departments.

3. Academic Organization

a. <u>Strategy and Policy Department.</u> The Strategy and Policy (S&P) Department teaches students to think strategically. Strategy and Policy is the senior-level course (SLC), which 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), which 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 teaches two primary core courses that engage the complexities of the contemporary and emerging national security environment. The National Security Decision Making (NSDM) course, the SLC, is designed for senior military officers and U.S. Government civilians and offers a broad security studies curriculum that focuses on the national strategic level. The Theater Security Decision Making (TSDM) course, the ILC, is designed for intermediate military officers and U.S. Government civilians and also offers a general security studies curriculum, but focuses heavily on the theater strategic level (with particular emphasis on the role and challenges of the U.S. geographic combatant commands). Both courses approach the study of national security affairs at three levels of analysis through distinctive sub-courses—Security Strategies, Policy Analysis, and Leadership Concepts—and a culminating exercise in which students bring these levels of analysis together. Common areas of study include the effective selection and leadership of military forces in the context of constrained national resources; strategic planning and selection of future military forces and their potential use as a national power tool; the nature of economic, political, organizational, and behavioral factors that affect the decision-making process within complex national security organizations; and the challenges associated with leadership beyond the tactical and operational levels.

c. Joint Military Operations Department. The Joint Military Operations (JMO) Department teaches the Joint Military Operations Course, the SLC, and the Joint Maritime Operations Course, the ILC. The curriculum for the two courses is 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 and naval strategy and campaigning, including integrated operations with other Services and multinational operations with allies. 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, which synthesizes selected concepts from strategy, military decision making, international law and rules of engagement, operational planning, and warfare tasks.

d. The Maritime Advanced Warfighting School (MAWS). MAWS—formerly titled the Navy Operational Planners Course—was established at 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. In a twenty-first century of complicated threats and opportunities, U.S. operational commanders increasingly 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.

e. Electives Program

(1) Concept and Objectives. The purpose of the Electives Program is to expand treatment of subjects offered in the core courses, offer subjects not available in the core courses, and support specific executive development needs as directed by the Chief of Naval Operations. The program does this by providing specialized areas of study (AoSs) that produce special competencies that can be identified and tracked by the Navy's personnel system through the assignment of an additional qualification designator (AQD). Elective courses may be selected according to the

students' personal interests and professional preferences without risk to academic standing. The program requires approximately 20 percent of the student's total academic effort, or a workload of about 90 hours per trimester, including class time. The President expects most individual members of the resident faculty 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 Naval War College. It is the President's intent that teaching an elective course or courses shall constitute substantive service to the Naval War College's mission, functions, and tasks beyond the teaching or research responsibilities associated with the individual's specific position in the Naval War College's organization.

(2) Description

(a) All elective courses offered by the Naval War College, or accepted by the Naval War College for credit toward the requirements of the nonresident Graduate Degree Program (GDP), shall meet the high academic standards required for accreditation. All U.S. students in residence in Newport shall complete three elective courses in order to qualify for the Naval War College's JPME I and JPME II diplomas and the Master of Arts Degree in National Security and Strategic Studies. Nonresident Graduate Degree Program students need to complete nine graduate-level semester hours of elective work within a single AoS to meet their degree requirements. When enrolling in electives, all students are required to choose an AoS. College of Naval Warfare students will be required to take two electives in a chosen AoS. The third elective can be in any AoS. Students in the College of Naval Command and Staff will be required to take three electives in the chosen AoS.

(b) All resident U.S. students are required to enroll in one elective for credit each trimester. If approved by the Associate Dean of Academic Affairs for Electives and Directed Research, a student may fulfill this requirement by conducting a directed research project. Students must commit to a designated AoS before their first term of study commences. Student assignment to an AoS may be limited by the total number of seats available in the elective courses being taught in a particular term. Once an AoS is selected and assigned, it may be changed only with written permission from the Dean of Academic Affairs. Once a student has been assigned to a seat in an elective course, normally the student will remain in that course for the entire trimester. Transfer to another elective course may be considered by the Dean of Academic Affairs based on written recommendations by the Associate Dean of Academic Affairs for Electives and Directed Research, the Dean of Students, and, as appropriate, the senior Service advisor when the needs of the specific Service are involved.

(c) Members of the Naval War College 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 Academic Affairs for Electives and Directed Research.

(d) International officers may choose to enroll in any unclassified elective on an ungraded basis. However, all international students are encouraged to take one elective per trimester.

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

f. College of Distance Education and Academic Support. CDE offers the College of Naval Command and Staff curriculum in four separate programs for officers and selected enlisted personnel and U.S. Government employees. Graduates of these programs receive a Naval War College diploma and certification for JPME Phase I. A Master's Degree in National Security and Strategic Studies is also available to qualified and selected students of the Fleet Seminar Program who complete the requisite elective program of study.

(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 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 National Security and Strategic Studies must formally apply and be accepted into the GDP as determined by an Admissions Board. The board's decision is based on previous academic performance, the successful completion of at least one of the core courses, and academic references. Additional elective courses in an AoS, as is the case with U.S. resident students, from either the Naval War College or other accredited academic institutions, as approved by the GDP Program Manager, Director, CDE, and Associate Dean of Academic Affairs for Electives and Directed Research, must be completed.

(2) Web-Enabled Program. This program leverages internet-based educational technologies to deliver more focused versions of the three core 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 FSP.

(3) CDROM-Based Program. Because of their duties and their working conditions at sea and at remote and isolated duty stations, many officers are unable to participate in either the Fleet Seminar Program or the Web-Enabled Program. The CDROM-Based Program leverages information technology but is expressly not web-dependent. It is an innovative means of expanding the Navy's JPME Phase I capacity by providing more flexibility in the delivery of the ILC and JPME Phase I.

(4) Naval War College at the Naval Postgraduate School. Through a partnership with the Naval Postgraduate School, the Naval War College delivers a tailored version of the ILC to students at the Naval Postgraduate School in Monterey, California. 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.

(5) 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; completion is tracked in the sailor's Electronic Training Jacket.

g. Naval Command College. The NCC enrolls senior international officers, who attend the College of Naval Warfare core courses alongside, and are fully integrated with, their U.S. counterparts. Students submit papers and participate in most academic exercises but do not take all exams or receive recorded grades. Upon arrangement with their professors, they may take exams and receive feedback. The education for international officers is a blend of the Naval War College curriculum and FSP 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 Naval War College diploma and transfer credit.

h. Naval Staff College. The 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 FSP visits throughout their academic year. Graduates receive a Naval War College diploma and transfer credit.

i. Senior Enlisted Academy. The Navy Senior Enlisted Academy provides senior enlisted leaders education in communication skills, leadership and management, national security affairs, Navy programs, and physical fitness. Of the 1,200 students in attendance annually, the majority are active-duty Navy personnel. Navy Reserve, Air Force, Army, Coast Guard, Marine Corps, and international service members make up the remainder of the student population. The SEA has been successful in preparing senior enlisted leaders for positions of greater responsibilities since 1981. As a result of that success, graduation is now a requirement before assuming the position of command master chief or chief of the boat. The resident curriculum is a six-week course of instruction, containing 240 academic hours. The blended curriculum includes six weeks of Blackboard-based distance learning and a two-week in-house course of instruction. Both formats require completion of Navy Primary PME (approximately seventy hours of online instruction) prior to attending.

j. 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, 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 and dignitaries, as well as some needs of the broader Naval Station Newport community. A sampling of library services includes providing reference assistance; offering access to over sixty 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 needed materials not currently available in the library. The library, named in honor of Rear Admiral Henry Effingham Eccles, a distinguished logistician from the Second World War, is composed of three primary elements: the Main Library, located on the main and mezzanine levels of Hewitt Hall, the Classified Library Branch on the main level, and the Naval Historical Collection, located in Mahan Hall. The Library Director reports directly to the Provost.

k. Writing Center. The Writing Center provides all Naval War College students the resources and support necessary to help them become more competent writers. The Writing Center helps students evolve as writers by working with them to clarify the focus of papers (either for a course or for potential submission for publication), refine a thesis statement, identify and organize an argument, understand how to integrate evidence into a paper, develop revision strategies, know when and how to cite sources, and find a unique writing "voice." The center can also assist with strategies for overcoming writer's block, for breaking the counterproductive cycle of procrastination, and for reading more effectively and efficiently. The staff of the Writing Center works with students in one-on-one conferences and small group workshops. The Online Writing Center houses resources such as handouts addressing grammatical issues and the various parts of the writing process, writing text recommendations, and links to other excellent online writing sites.

l. Graduate Network for Lifelong Learning. The Director, Graduate Network for Lifelong Learning, reporting directly to the Provost, provides recommendations and advice to the President and Provost on matters pertaining to alumni relations as related to U.S. and international resident and nonresident Naval War College 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; and liaising with and supporting the Naval War College deans, their staffs, and other College mission support elements on all matters affecting alumni affairs and outreach.

4. Research Organization

CNWS is the research, analysis, and gaming organization within the Naval War College, 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 six departments: Warfare Analysis and Research, Strategic Research, War Gaming, Maritime History, International Law, and the Naval War College Press. The center also supports a detachment of the Office of Naval Intelligence.

a. Warfare Analysis and Research Department. The Warfare Analysis and Research Department, using principally applied research techniques, 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. The Chairman of the Warfare Analysis and Research Department chairs the College's Advanced Research Council. The department also maintains and operates the College's Decision Support Center, and provides analysis and assessment services for the College and for other U.S. military and government organizations.

b. Strategic Research Department. The Strategic Research Department (SRD) focuses on the major strategic 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.

SRD 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 SRD'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.

The department oversees the operations of the China Maritime Studies Institute (CMSI). CMSI's mission is to evaluate the open-source maritime literature in China, provide analyses for the Navy, and maintain collegial relationships with Chinese national security scholars.

c. War Gaming Department. The War Gaming Department (WGD) uses war games, models, and simulations as tools for analyzing and predicting future Navy and national requirements for forces and concepts of operations and to provide support for the educational mission of the Naval War College.

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.

d. Maritime History Department. The Maritime History Department directs and manages the Naval War College's maritime history and sea Service heritage programs. This department serves as a resource and contact point for the Naval War College 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) a research division, which conducts research and writing in both basic and applied maritime history; (2) a museum division, 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 Naval War College since 1884, and serves educational purposes both for students attending the Naval War College and for the general public; (3) an archives, manuscript, and rare books division that is managed cooperatively with the Eccles Library in relation to research, display, and collections management.

e. International Law Department. The International Law Department is the Naval War College's focal point for the study of international law and oceans policy as they affect U.S. military policy, strategy, and operations. The department engages in research, publication, and teaching to advance the understanding of international law and oceans policy issues confronting the United States today and in the future. The department also works to shape the development of international law and oceans policy consistent with U.S. interests.

f. 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.

g. Office of Naval Intelligence Detachment. The Office of Naval Intelligence Detachment (ONI DET) Newport was established at the U.S. Naval War College in 1977 and is a detachment of the Office of Naval Intelligence, which is located at Suitland, Maryland. Under the auspices of the Naval War College, 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 Naval War College staff on various high-interest, current intelligence topics.

5. Faculty Organization

The Naval War College is a military institution supported through the federal budget process. Thus, the College differs from most other institutions of higher education in two significant ways. 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. 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 Naval War College consists of military officers and civilian academics, policy analysts, and individuals from other backgrounds. The military faculty comprises officers of the ranks of Commander or Lieutenant Colonel and Captain or Colonel. 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 Naval War College faculty who are specialists in their fields and teach in the CDE Fleet Seminar Program, the Web-Enabled Program, the CDROM-Based Program, and the Electives Program. Because almost all of the Naval War College 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 graduate courses and conduct or synthesize research as essential to develop and maintain the academic curriculum and their own professional competence. Some are assigned major administrative responsibilities. The President, the Provost, the Associate Provost, the deans, the associate deans of academic affairs, the chairs of the three academic core departments, the Director, College of Distance Education, and chairs of the CNWS departments 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 War 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 are at least 50 percent teaching or researching through war game design or execution.

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

Naval War College Press Editor are by definition considered research faculty. 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 Joint Military Operations Department, and Directors of the Naval Command and Naval Staff Colleges 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 Provost, the deans, the Associate Dean of Academic Affairs for Electives and Directed Research, the Director, College of Distance Education, the Chairs of the Strategy and Policy and National Security Affairs Departments, and the Center for Naval Warfare Studies departmental chairs are civilians whose lengths of appointment are discussed in Chapter II.

d. Faculty Committees. Standing Naval War College 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 programs supports academic, athletic, and social activities. Each class functions according to its constitution and bylaws. Each college has an executive committee composed of a president and a vice president (both from the class matriculating every August), and representatives from the November and February/March classes. This executive committee appoints members to serve as chairs of the student academic and athletic committees, as well as social committees if the class desires. A secretary and treasurer may also be appointed. These positions are held throughout the academic year. Each 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 between students and to achieve an experience mix appropriate to course objectives. The Senior Enlisted Academy has a similar student organization.

7. Standing Boards, Committees, and Councils

The President and his principal officers are advised through several formally established committees, boards, and councils composed of administrative officers and faculty. Direct opportunities for faculty participation in Naval War College 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, chaired by the Vice CNO (VCNO), 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. The board has two permanent subcommittees, one each for NPS and NWC. The board 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. The 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 Department of Defense policies and procedures. 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 President 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 curriculum. These organizations are staffed to a degree by Naval War College graduates, and, naturally, it is important to consider their recommendations. These recommendations or suggestions, however, are purely advisory.

b. Internal

(1) Policy Advisors. Several individuals provide expertise in specific areas, including advisors from the Army, Air Force, Marine Corps, Coast Guard, State Department, and, on occasion, other agencies. The four military advisors are normally the senior officers in their respective Services assigned to the Naval War College and report to the President 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 President include the Public Affairs Officer, Staff Judge Advocate, the Comptroller, the Command Evaluation Officer, the Command Master Chief, the Safety and Occupational Health Manager, and the Staff Intelligence Advisor.

(2) Academic Policy Council. The Academic Policy Council advises the President 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. Meetings are also used to review and coordinate the academic and social calendar. The membership of this council consists of the President, Provost, Dean of Academic Affairs, Dean of Naval Warfare Studies, Dean of Operational and Strategic Leadership, Associate Provost, Dean of Students, and chairs of the three academic departments, chairs of the CNWS departments, the Associate Dean of Academic Affairs for Electives and Directed Research and the Director of the College of Distance Education, and others, by invitation, as required. This council meets on a regular basis, but since its agenda addresses matters of College-wide policy, only when the President is available to attend. The Provost's chief of staff 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 Naval War College 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 on a regular basis, but at a minimum quarterly.

(3) Dean of Academic Affairs Committees. The Dean of Academic Affairs chairs two additional committees:

(a) *Chairs/Directors Committee*. This committee, composed of the chairs of the three core academic departments and the Directors of CDE and MAWS, provides a forum for curriculum or curriculum-related discussions.

(b) *Academic Affairs Committee*. This committee provides a forum for the exchange of general information on academic issues and administrative matters among the principal stakeholders of the Naval War College. The membership of the committee includes the chairs of the three core academic departments; the Directors of CDE and MAWS; the Deans of, or representatives from, International Programs, College of Operational and Strategic Leadership, Center for Naval Warfare Studies, and Students; Information Resources Department; library; Facilities; and the Directors of the Writing Center and Graduate Network for Lifelong Learning.

(4) Student Research Council. The Student Research Council serves as a policy-consulting and project-recommendation committee for all proposed student advanced research projects (ARPs). The members of the council consist of the Dean of Academic Affairs, the Dean of Naval Warfare Studies, the Chair of the Warfare Analysis Research Department, and two at-large members, one designated by the Provost and one designated by the Dean of Naval Warfare Studies.

(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 President, via the Provost, regarding appropriate administrative or disciplinary action. Members of this board are the Dean of Academic Affairs (chair), Dean of Naval Warfare Studies (as required), Dean of Operational and Strategic Leadership (as required), the Dean of Students (in cases involving U.S. 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. The chief of staff to the Provost will serve as executive secretary.

(6) Library Committee. The Library Committee serves as a forum for the exchange of ideas among faculty, students, staff, and the Library Director. The committee reports from time to time to the Provost on the current and long-range needs of the library and adequacy of existing plans and budget provisions to meet those needs. Membership of the committee includes one academic faculty member from each academic department, the College of Distance Education, the Naval Command College, and the Naval Staff College; one research faculty member from the Center for Naval Warfare Studies; and two students, one from the College of Naval Warfare and one from the College of Naval Command and Staff. The Library Director serves as chair. The committee meets at least semiannually.

(7) Naval War College Foundation Awards Board. The Naval War College Foundation sponsors annual awards for an outstanding graduate from the Naval War College Fleet Seminar Program and for the most outstanding graduate of

the Web-Enabled or CDROM-Based Program. The board consists of the Dean of Academic Affairs; the Director, 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 Academic Affairs. The Dean of Academic Affairs serves as chair.

(8) 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. 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.

(9) 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 Naval War College. 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. Representatives from the other academic departments, the Deputy/Chief of Staff, and the Dean of Students also attend. Minutes of all meetings are forwarded to the Dean of Academic Affairs.

(10) 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 Academic Affairs. The board is chaired by a selected resident faculty member and is additionally composed of the Graduate Degree Program Manager and a faculty representative from the College of Distance Education. The board meets quarterly.

(11) 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 the Departments of Joint Military Operations, National Security Affairs, and Strategy and Policy; the Chairs of the Departments of Strategic Research, War Gaming, and Warfare Analysis and Research in the Center for Naval Warfare Studies; the Director of the College of Distance Education; the Dean of the College of Operational and Strategic Leadership; the Dean of the Center for Naval Warfare Studies; the Dean of Academic Affairs, 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.

(12) 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.

(13) Faculty Promotion Committees

(a) *Department Faculty Promotion 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.

(b) *Naval War College Faculty Promotion Committee.* The College-wide Faculty Promotion 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) who have contracts of no less than four years and have been at the rank of professor. 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, Center for Naval Warfare Studies, and College of Operational and Strategic Leadership will provide to the Provost a list of all faculty eligible to serve. From these lists the Provost will select three 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 such that the three deaneries each maintain three seats on the committee. 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 a committee chair, who may serve consecutively for two years, but may not serve as chair for more than two years during his/her tenure at the College. The committee chair, while holding the position, will not vote on committee matters, unless there is a tie vote. The chair's 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 seven members, including the committee chair, 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 each of the three 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.

8. Academic Sessions and Formal Ceremonies

Faculty of the Naval War College have a year-round responsibility to maintain professional proficiency, cognizance of the needs of the Navy with regard to professional military education, and a maximum usefulness in fulfilling the mission of the College. Although the principal resident 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.

a. Calendar

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

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

(3) Weekly Schedule. A weekly 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. These schedules are distributed electronically. The calendars also are available for viewing on the Naval War College intranet.

b. Conferences. The Naval War College 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. Naval War College 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) Current Strategy Forum. Each academic year the Secretary of the Navy Current Strategy Forum is held at the Naval War College. Prominent civilians and flag and general officers meet with Naval War College students and faculty to discuss current subjects of national strategic importance. The forum is hosted by the Secretary of the Navy and executed by members of the Naval War College staff and faculty.

(2) Intersessional Conferences. As directed by the President, Naval War College, intersessional conferences shall be held on topics such as professional ethics and civil-military relations, or other such topics that may be developed by the President, Provost, or deans.

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

d. Reserve Officers' Courses. The three core academic departments offer two-week programs each year for reserve officers. These courses are a synopsis of the programs offered at the College and, if the student is admitted, can be applied as partial credit toward a Naval War College diploma through the College of Distance

Education Web-Enabled or CDROM-Based Program. The courses are normally scheduled during the respective department's nonteaching trimester but may vary from year to year, depending on the War College program of resident academic study.

e. Commencement, Cloister, Convocation, and Change of Command Ceremonies. These events constitute an important component of the formal Naval War College environment. Students, staff, and faculty participate. 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. Preservation of Naval War College Records, Documents, Art, and Artifacts

The Naval War College recognizes the need to preserve documents of lasting value generated by administrative units, offices, programs, departments, students, committees, and other components of the Naval War College. Such materials should not be destroyed but should be made available for deposit in the Naval Historical Collection. Department chairs, directors, and division heads should work with the Archivist to establish those items deemed pertinent for preservation. When books, manuscripts, or other materials are offered to the Naval War College library or Foundation, it is to be understood by the donor or depositor that the library and archives will have the exclusive right to dispose of materials that do not meet the gift policy requirements. The donor or depositor may, in writing at the time of transfer of the material, condition the donation on the agreement that no material will be eliminated without prior consultation with the donor or depositor. In addition, members of the Naval War College community are encouraged to leave their private papers and records to the College. To most appropriately document the historical role of the War College, a member of the faculty will be appointed on a collateral duty basis by the Provost to serve as Naval War College Command Historian. Each year the Command Historian will submit a Command Operations Report, via the Provost, to the President. In preparing the annual report, the appointed Command Historian will coordinate and consult with the Chair, Maritime History Department, and the Head, Naval Historical Collection. Art, rare or historical objects, and naval artifacts should be deposited with the Naval War College Museum for permanent retention in the collections managed by the museum for the College.

CHAPTER II

FACULTY, STAFF, AND ADMINISTRATION

1. Faculty Duties, Responsibilities, and Rights

a. Duties. The efforts of the faculty members 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 Naval War College faculty members are (1) teaching and core curriculum execution, primarily in core courses and in electives, but also on an occasional basis in support of other Navy and Department of Defense (DoD) educational programs at Naval Station Newport; (2) research, analysis, and gaming, mainly at the Center for Naval Warfare Studies; (3) curriculum development; (4) professional development and contribution; and (5) service to the department or Naval War College, which may entail administrative duties or other collateral duties.

(1) Teaching and Core 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 core curriculum at a graduate-level standard of instruction.

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

(c) Evaluating student performance 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 Naval War College.

(2) Research, Analysis, and Gaming. Faculty members assigned to the Center for Naval Warfare Studies, as well as other Naval War College 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 Naval War College 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. Faculty members assist in curriculum development by designing instructional objectives, writing or revising syllabi, preparing or assembling readings and case studies, and identifying appropriate measures of student performance.

(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. Those assigned to primarily administrative positions are held to a lower standard of expectation in this regard but collaborate in other ways.

(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 Naval War College, Naval Station Newport, or elsewhere as required. These programs include, but are not limited to, the College of Distance Education, reserve officer courses, Surface Warfare Officers School, Naval Academy Preparatory School, Officer Training Command, Senior Enlisted Academy, and the Strategic Studies Group.

(d) Attending official functions, as required.

(e) Providing direct support to the Chief of Naval Operations, the combatant commanders, fleet commanders, numbered 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 War College are guests of the President. To ensure that official visitors are extended every possible courtesy, a Naval War College 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 Naval War College 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 President) 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 Naval War College.

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

b. Academic Ethics. The central functions of the Naval War College 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 Naval War College community.

(1) General Responsibilities

(a) *Scholarship.* A scholar, as well as an accomplished practitioner who is a member of the faculty, recognizes a primary responsibility to act according to professional standards. A scholar practices intellectual honesty and exercises critical self-discipline and judgment in using, advancing, and transmitting knowledge.

(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 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 debts 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 Naval War College.

(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 Naval War College 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 Naval War College.

(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 regularly.

(d) To ensure availability to students, a faculty member will announce and keep liberal office hours at times convenient to students.

(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 Naval War College 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 Naval War College 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, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution."

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 Naval War College 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, the Department of Defense, the Department of the Navy, or the Naval War College. 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.

(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 paragraph 8 below. There are also appeals processes related to specific academic decisions, such as nonreappointment 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 JER. 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 JER, they shall seek guidance from the Staff Judge Advocate 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. <u>Civilian Faculty.</u> Civilian faculty members hold "excepted" federal-service positions rather than competitive federal-service positions. The basic difference is that excepted appointments may be made without competitive examination. In addition, an excepted-service employee has no right to employment beyond the term of his or her contract, memorandum of understanding (MOU), or extension. 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 Naval War College. 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 Officer (HRO) representative or the Staff Judge Advocate.

(1) Legal Basis for Appointments. Statutory law provides that the Secretary of the Navy may employ as many civilians as full-time professors, instructors, and lecturers at the Naval War College as he considers necessary, and that he may fix their compensation as he 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 and that excepted-service positions have salary scales that are administratively determined (AD), as opposed to the general schedule (GS) under which competitive employees work. 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 Naval War College and the other colleges under the Secretary's authority. Neither the SECNAV Instruction nor the Naval Faculty Schedule provides any direct guidance concerning the nature of the responsibilities of the professors appointed or assigned to faculty positions. 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 not classified using general schedule standards. Because of this, the human resources managers from the Office of the Deputy Assistant Secretary of the Navy for Civilian Personnel have directed the Naval War College's Human Resources Officer to use the GS-1710 Educational and Vocational Training Series as the series most closely related to the duties of professors at the Naval War College. Accordingly, a professor is classified as AD-1710 (administratively determined pay scale/educational and vocational training series). The GS-1710 classification series states that the position includes those that "involve direct delivery of instruction or training services of a professional nature."

(2) Process for Appointments. The President of the Naval War College has delegated authority to the Provost to approve or disapprove 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 President regarding appointments or extensions of appointments. Nominations for appointments and recommendations for promotion and/or reappointments are submitted by the respective department chair or director through the respective dean to the Provost.

(a) *Recruitment of Civilian Faculty*. As a matter of practice, the Naval War College undertakes systematic national searches to recruit applicants for civilian-faculty and administrator positions. It places advertisements in venues appropriate for reaching suitably qualified candidates, e.g., 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. Recommendations obtained from professional contacts and other scholars and practitioners known to members of the Naval War College faculty may help to supplement the advertising plan. 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 the CFR.

(b) *Selection among Applicants*. Applicants are first evaluated by formal search committees composed of faculty members who follow standard academic best practices, including confidentiality, thorough investigation, and equal treatment. Departmental search committees shall normally include one member from outside the department making the selection, selected by the chair and approved by the Provost. The most promising candidates are 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. 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 Naval War College 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 Naval War College 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. An expanded explanation of the considerations given to initial academic rank is found in the following section of this handbook.

(d) *Citizenship*. The U.S. citizenship requirement may not apply to certain civilian faculty members appointed to excepted-service positions at the Naval War College. 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 Naval War College. 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 contract 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) *Probationary Period.* The initial appointment for all federal-service employees normally encompasses a one-year probationary or trial period, regardless of the length of the original contract.

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

b. Military Faculty

(1) Nomination to the Faculty. Military members of the faculty with the rank of Commander/Lieutenant Colonel or Captain/Colonel 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 command and staff experience and appropriate warfare qualifications. To be assigned to duty on the Naval War College faculty, nominees must be accepted by the appropriate departmental chair, the Provost, deans, and the President. Military faculty members typically serve two or three years before being reassigned. Pay and allowances for military faculty are prescribed by Congress, and military promotions are the responsibility of the Service headquarters.

(2) Military Chain of Command. Due to the unique organization and mission of the Naval War College and the supporting function of the Personnel Support Detachment Newport, 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 Deputy/Chief of Staff. The chain of command for non-Navy officers runs through their respective Service advisors. Official military personnel action correspondence is addressed via the President, Naval War College, 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 Deputy/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 can apply for any advertised vacancy to be considered for subsequent appointment as a civilian member of the Naval War College faculty. 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 Provost.

c. Department Chairs, Directors, and Other Administrative Positions

On behalf of the President of the Naval War College, the Provost appoints civilian faculty as deans, department chairs, directors of programs, 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 Chair of the Maritime History Department, Chair of International Law, Library Director, Director of Institutional Effectiveness, and Director of the Writing Center. One departmental chair, that of Joint Military Operations; certain deans, such as the Dean of Students; and the Directors of the Naval Command and Naval Staff Colleges are appointments filled by military officers, usually senior naval officers, who normally serve tours of three years or less in these positions.

d. Special Appointments

(1) Librarians. The Director, Naval War College Library, is an excepted-service position, appointed by the Provost 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. The term of initial appointment is determined by such factors as professional activities, experience, and academic degrees held, in accord with Office of Personnel Management guidelines.

(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 of the Naval War College. 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 Naval War College, 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 mission, functions, and tasks of the Naval War College.

(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 President of the Naval War College 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 either volunteer services in research or be hired under a contract under applicable contracting regulations. 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 NWC Staff Judge Advocate 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 Naval War College, or its satellite locations in Monterey and Washington, 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 College of Distance Education programs or with the Electives Program.

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

(b) Adjunct hiring for the Distance Education and Electives Programs will be in accordance with the NEASC 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 hired 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 Director, CDE. Screening procedures for adjunct hiring 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 Naval War College 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 are currently five 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.

(b) Named professorships were instituted to better link the Naval War College 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.

(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 Academic Affairs 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 Academic Affairs that such dedicated research is required by emerging needs of the Naval War College.

(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 the Center for Naval Warfare Studies. 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, Naval War College, via the department expected to supervise the substantive aspect of the research, the Dean of Naval Warfare Studies, or the Dean of Academic Affairs. 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 President, Naval War

College, 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 nonfaculty 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 the Center for Naval Warfare Studies. 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 thrust 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 President, 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 Naval War 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 Head, Naval Historical Collection. The competition is managed for the Naval War College Foundation by the Chairman, Maritime History Department and the selection is made by a faculty committee headed by the Chairman, Maritime History Department. The recipient will be a research fellow in the Naval War College's Maritime History Department, 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 Naval War College 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 U.S. Naval War College or any agency of the U.S. Department of Defense 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 through the generosity of Pam Ribbey permanently 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 Naval War College. 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 U.S. Naval War College's academic role in international engagement scholarship and service to the United States 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 Naval War College, which, identified as such, is to be considered for publication in the *Naval War College Review* or another professional historical journal.

3. Evaluations, Reappointments, Promotion, and Termination

a. <u>Evaluations.</u> Faculty members undergo two regular types of evaluation in the course of an academic year at the Naval War College. After each term of instruction, the teaching performance of faculty members who have taught in a core 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) *Performance Appraisal and Review System*. Civilian faculty members are evaluated annually in accordance with standard procedures established in the Performance Appraisal and Review System (PARS). The PARS 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, and service to the department and Naval War College. 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 NAVWARCOLINST 12430.1 (series).

(b) *Teaching Evaluations.* The academic departments, the Electives Program, and the College of Distance Education 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 Dean of Academic Affairs. In addition to written forms of evaluation, direct observation of teaching performance may take place. These occasional visits will 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 Naval War College. 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 President. 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 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. Policies Governing Appointment, Promotion, Reappointment, and Nonreappointment of Civilian Faculty Members

(1) General Guidelines Regarding Promotion and Reappointment

(a) The Naval War College 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. Promotion to a more senior academic rank is not and shall not be a right of longevity at the Naval War College, but instead is based on continuing scholarly or professional potential at higher levels of responsibility rather than as a reward for past achievements.

(b) For the purpose of determining those best suited for promotion, a faculty member's level of merit will normally be assessed on the basis of the following criteria:

1. For faculty whose primary duties are related to teaching and scholarship at the College, the criteria will include the faculty member's demonstrated and sustained excellence in, and tangible commitment to, teaching, curriculum development, and assessment in and of the Naval War College's resident and nonresident programs. It also includes ongoing scholarly accomplishments of original research and publication in a relevant academic field and engagement with and contribution to the wider academic profession.

2. For faculty whose primary duties are related to teaching and professional practice at the College, the criteria will include the faculty member's demonstrated and sustained excellence in, and tangible commitment to, teaching, curriculum development, and assessment in and of the Naval War College's resident and nonresident programs. It also includes ongoing professional accomplishments and engagement in a relevant professional field and the wider community of national security professionals.

3. For faculty whose primary duties are research-oriented and related to scholarship, the criteria will include the faculty member's productivity in, and quality of, research, analysis, and gaming, especially in areas of relevance to the College's missions, functions, and tasks and the needs of the Navy, as determined by the President and the Provost in consultation with the relevant dean, department chair, or other supervisor. It also includes ongoing scholarly accomplishments of original research and publication in a relevant academic field

and engagement with and contribution to the wider academic profession.

4. For faculty whose primary duties are research oriented and related to professional practice, the criteria will include the faculty member's productivity in, and quality of, research, analysis, and gaming, especially in areas of relevance to the College's missions, functions, and tasks and the needs of the Navy, as determined by the President and the Provost in consultation with the relevant dean, department chair, or other supervisor. It also includes ongoing professional accomplishments and engagement in a relevant professional field and the wider community of national security professionals.

5. For every member of the faculty, the principal factor in the assessment of his or her substantive and explicit service will be the positive and sustained contributions to the Naval War College's mission, functions, and tasks beyond the teaching and/or research responsibilities associated with the individual's specific position in the College's organization. This may include the faculty member's service to the Department of the Navy, the Department of Defense, or other departments or agencies of the U.S. Government.

6. For every member of the faculty, assessment shall include an evaluation by the relevant department chair or director of the faculty member's continued capacity for sustained productivity and engaged, creative service as a member both of his or her respective unit of the College and of the College as a whole and as a wider member of a professional or scholarly field.

(c) For consideration for promotion, a package will be created by the faculty member seeking advancement. This binder shall include a thorough self-assessment from the candidate, which must include a written summary of the candidate's professional achievements, including examples where appropriate (e.g., teaching evaluations, major case studies or curricular changes written, published articles or books, examples of service to the College, letters of recommendation from colleagues or superiors) and an explanation of how these warrant promotion to the desired rank. The promotion package will be first reviewed by the department faculty promotion committee (see Chapter I, section 7b[13], Faculty Promotion Committees). 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. The recommendation of the NWC Faculty Promotion Committee will be forwarded to the Provost for a promotion decision. A non-promotion decision by the Provost may be appealed to the President, whose decision is final. A faculty member wishing to appeal a non-promotion decision shall initiate that request, in writing, within two weeks. Upon initiation of that

request, the faculty member shall be provided all recommendations and endorsements appended to his or her initial request, including the report from the department and College-wide faculty promotion committees. Thereafter, the faculty member should provide a written rebuttal of the non-promotion decision, with any supporting information, within thirty days. This written request shall be routed from the faculty member through the Provost to the President. The President will make a final decision on promotion and notify the faculty member and Provost. Progression from more junior to more senior rank is based on the expectation that a faculty member will show greater achievement, perform at higher levels, and undertake greater responsibilities, including those within the College as a whole, in accordance with his or her rank.

(d) All recommendations for reappointment are made by the relevant chair or director to the appropriate dean or other supervisor for final recommendation to the Provost. The appeals process for nonreappointment of contract is contained in paragraph 3c(1) below.

(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 PhD or other appropriate terminal degree (EdD, 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 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.

(b) *Assistant Professors.* Typically, an assistant professor is a new or recent scholar who holds an earned PhD 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 no less than five consecutive years (three years for faculty initially hired before 1 June 2013), 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 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 nonreappointment 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 PhD 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-5/6 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 Naval War College, 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 appointment as an associate professor is not less than four years.

2. Upon holding the rank of associate professor for not less than six consecutive years (four years for those faculty initially hired before 1 June 2013), 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 an associate professor be considered for promotion to professor until he or she has served for two consecutive years as an associate professor at the Naval War College.

3. 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 Naval War College 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 (such as 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.

4. 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.

5. 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.

6. 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 are normally for terms not less than four years.

3. There is no rank beyond professor. However, after a term of no less than four consecutive years at the rank of professor,

the faculty member may request review for an indefinite appointment. 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 whose records stand out even among the high achievements of the cadre of professors and 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.

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

(e) *Indefinite Appointment.* The Naval War College does not award tenure. However, an appointment without specified contractual term is periodically awarded to professors who have long records of accomplishment as outlined above.

1. Such indefinite appointments may be terminated before retirement only due to a change in Naval War College structure or organization or separation for cause. They may be offered only in writing. Oral statements, verbal promises, or other such assurances of indefinite employment 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 Naval War College needs to retain sufficient flexibility to adjust the number of faculty members; therefore, the awarding of indefinite appointments is rare.

2. 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 Naval War College may end:

(1) Expiration of Appointment. When an appointment is not renewed, a civilian faculty member's employment at the Naval War College will come to an end at the expiration of the term specified in his or her contract or memorandum of understanding. Any oral promises or assurances of an extension of an appointment shall not be binding upon the College. In all but extraordinary circumstances, written notification of nonreappointment 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 contractual term, or (b) by 1 October prior to the expiration of the contractual term, whichever is longer. The President of the Naval War College will be notified 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 Naval War College have the right to request a peer review of nonreappointment.

(b) *Composition of the Review Committee.* The nonreappointment review committee is normally composed of the Associate Provost, an appropriate noninvolved 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 President 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 or the dean directly concerned. The committee shall review the circumstances of nonreappointment and forward a written recommendation of concurrence with nonreappointment or for reappointment, with grounds, to the President, NWC, 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, 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.

(3) Separation for Cause. Any member of the faculty may be separated for cause, in accordance with the applicable Office of Personnel Management 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 Naval War College.

4. Salary, Benefits, and Awards for Achievement

a. Naval Faculty Schedule. The salary of regular civilian faculty members is fixed in accordance with the Naval Faculty Schedule (NFS) determined by the Secretary of the Navy, as authorized by Section 7478, Title 10, U.S. Code. The schedule is modified by the Secretary of the Navy on a comparative basis with changes authorized by Congress for federal employees paid under the general schedule. No person paid under the NFS may be paid an amount in excess of that authorized for Level V Executive Appointees. 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) Salary upon Appointment. The setting of salaries 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 Naval War College; and the level of professional achievement of the appointee. As designated by the President, the Provost is the only Naval War College official who is 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. The minimum waiting periods for progression into or within published NFS ranges are as follows:

Academic Grade/Rank	NFS Range	Waiting Period
Associate Professor	18 to 25	1 Year
	25 to 34	2 Years
	34 to 43	3 Years
	43 to 52	4 Years
Professor	26 to 34	1 Year
	34 to 44	2 Years
	44 to 54	3 Years
	54 to 66	4 Years
Supervisory Professor/Dean	II to XIX	4 Years

(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 Naval War College faculty employment, subject to satisfying minimum waiting periods for their salary step range.

(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 salary increase equivalent to at least one step on the NFS for the level from which promoted. For faculty members who have successfully completed at least two-thirds of the waiting period established in the table above and are granted an academic promotion, the additional step to which they are approaching entitlement will be added to that deemed appropriate for the academic promotion.

(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. Determining eligibility for research faculty members shall be the responsibility of the Dean, CNWS, or his or her appropriate designee.

(e) Except in the case of an accomplished practitioner, a civilian faculty member in the Strategy and Policy Department, National Security Affairs Department, or the Strategic Research 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, effective on the first pay period following approval by the Provost.

(3) Adjunct Faculty Salaries. The compensation of an adjunct professor, whether teaching for the College of Distance Education, the Electives Program, or other part of the College, is a contractual matter between the College and the individual involved as approved by the Provost.

b. Benefits. The specific provisions of Federal Civil Service employee benefit programs for civilian faculty members are found in the several volumes of the *Federal Personnel Manual* prepared by the Office of Personnel Management. 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) *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. Provision is made for the participation of faculty members and their families in the Federal Employees' Group Health Insurance Program. Two types of plans are available: government-wide plans, under contract between OPM and health insurance carriers; and employee organization plans, available to members who have signed contracts for coverage with various health insurance providers or health maintenance organizations. Payment is by payroll deduction, with the employee paying part of the cost and the agency paying a varying amount depending on the plan selected, and with government contributions not to exceed 75 percent of the total enrollment costs.

The provisions of the different insurance carriers vary in detail, and the plan which best fits the needs of the individual and his or her family should be selected. Enrollment is optional and can be canceled at any time. Applications for group coverage are received by the carriers only on first employment, during the "open season" periods established by OPM once a year, or for specific significant reasons, e.g., change in marital status. Members with temporary appointments of a year or less are not eligible for participation unless they are holding a temporary appointment that, when combined with other federal service, results in continuous federal service without a break for a period in excess of one calendar year. Health insurance may be continued into retirement, provided the retiree has been covered under the federal program (not necessarily the same plan) for the five years immediately preceding retirement. Insurance terminates after 365 days in a non-pay status. Federal-service employees are also covered by Medicare hospitalization insurance for which they pay 1.45 percent of salary each biweekly pay period. Employees and their spouses become eligible for Medicare coverage at age sixty-five.

(b) *Basic Life Insurance*. All federal civilian employees, with few exceptions, are automatically covered for basic life insurance, unless they specifically state in writing that they do not want the insurance. Insurance is provided under the terms of a group insurance policy purchased by OPM in accordance with the Federal Employees Group Life Insurance (FEGLI) law. The

group policy provides two kinds of basic insurance during employment: basic life insurance without a medical examination, and accidental death and dismemberment insurance providing double indemnity for accidental death and payment for accidental loss of eyesight or of one or more limbs.

Basic life insurance costs are shared between the employee and the government as the employer. The employee's share is two-thirds of the cost and is withheld from his or her salary each pay period. The amount of each kind of insurance is equal to the employee's adjusted annual salary (rounded to the next higher thousand plus two thousand dollars) times a multiplication factor (as detailed below). Employees under age thirty-six are eligible for basic life insurance coverage in an amount equal to their annual salary rounded to the next higher thousand dollars plus two thousand dollars, multiplied by 2.0. Beginning at age thirty-six, the multiplication factor decreases by 0.1 each year, until it reaches 1.0 for employees over age forty-five. The individual must select from three different options for continuation of basic life insurance at the time of retirement.

(c) *Optional Life Insurance*. Civilian faculty members, except under temporary appointment of one year or less, may also participate in optional life insurance plans under the FEGLI Program. These programs allow for purchase of term insurance in amounts roughly equivalent to a faculty member's salary, or other options in varying amounts, which may be an additional ten thousand dollars and/or some multiple of one through five of the basic salary, and/or some optional family coverage, whichever is elected. Costs for all optional coverage insurance are based on the employee's current age, and all premiums are paid by the employee.

(d) *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.

(e) *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. Although federal employees whose period of service began prior to 1984 and who are making regular contributions to the Civil Service Retirement System (CSRS) are exempt from paying Social Security retirement tax, the exemption does not extend to the hospitalization insurance. Participants in CSRS

are required to pay 1.45 percent of their annual salary for coverage under Medicare's hospital insurance program.

(f) *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 give his or her official superior (supervisor) written notice of the injury within two working days after the injury in the performance of duty. Compensation may be denied if notice of injury is not given within thirty days or if the supervisor does not have actual knowledge of the injury.

(g) *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. Applications are submitted to a public employment and claims office of the state employment security agency near the applicant's residence.

(h) *Thrift Savings Plan*. Civilian faculty members participating in either the CSRS or FERS retirement system may enroll in the Thrift Savings Plan (TSP). The TSP is a tax-deferred defined-contribution retirement savings plan, comparable to private-sector 401(k) plans, in which employees contribute portions of salary on a pretax basis. The Department of the Navy automatically enrolls employees hired after 31 July 2010 in TSP and 3 percent of the employee's base pay is deducted each pay period, unless the employee elects to change or stop contributions. An employee may at any time alter contribution amounts and/or change the way future contributions are to be invested. The individual also may end his or her participation at any time. If an employee leaves prior to retirement, the contributions plus earnings may be rolled into an IRA or a qualified pension plan.

TSP participants who contemplate leaving federal service or are planning for retirement should obtain the booklet *Withdrawing Your TSP Account Balance* from the Human Resources Office or www.tsp.gov. This booklet explains the several ways that employees may receive their balance, which depends on their status at time of separation, and is subject to numerous spouse waiver and notice requirements.

(i) *Long-Term-Care Insurance.* This program provides long-term-care insurance for employees and their parents, parents-in-law, stepparents, spouses, and adult children. Cost of insurance premiums is based on age. Certain medical

conditions or combinations of conditions will prevent some people from being approved for coverage. To enroll go to www.ltcfeds.com.

(j) *Flexible Spending Account (FSA).* FSAFEDS is a flexible spending account program for federal employees to save money on health and dependent care expenses.

1. Healthcare Flexible Spending Account. Can be used to pay for healthcare expenses not covered under health insurance.

2. Dependent Care Flexible Spending Account. Can be used to cover eligible expenses for the care of dependent children under the age of thirteen and/or a person of any age whom the employee claims as a dependent on his or her tax return, or who is mentally or physically incapable of caring for him- or herself. For more information go to www.fsafeds.com.

c. Awards for Achievement. 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 ninety days. 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.

5. Professional Development within the Naval War College

The Naval War College 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. Teaching. 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) Resident 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, resident 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. New faculty members also accelerate their pedagogical preparation and development by teaching on their own in two-week reserve officers courses and Naval Staff College seminars.

(2) College of Distance Education. CDE makes a major effort to ensure that adjunct professors remain closely aligned with the course content and teaching methods of the resident program. Many adjuncts come to Newport before the beginning of the academic year in 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 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.

b. Enhancing Professional Expertise and Visibility. 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 Naval War College. All faculty members are strongly encouraged to engage in activities that will increase their professional visibility outside the Naval War College 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. 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 core 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 National Security and Strategic Studies. 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. Foreign 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 Naval War College. The Chairman of the Joint Chiefs of Staff 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 Chief of Naval Operations, 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. During the trimester breaks, intersessional conferences explore such issues as military ethics or other pertinent topics. 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 Naval War College 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 Naval War College 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 Naval War College. Faculty members are reminded to include a disclaimer indicating that their own personal views are not necessarily shared by 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 policy, if working on controversial or highly visible issues, faculty members shall keep the appropriate chair/director, dean, Provost, and President 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 Strategy and Policy Department, the Strategic Research Department of the Center for Naval Warfare Studies, and the National Security Affairs Department put high priority on scholarly publication by civilian faculty members. COSL, the Joint Military Operations Department, and the leadership of the College of Distance Education, most of whose civilian faculty members are retired military officers, put less priority on publication. Civilian faculty members in departments or divisions of the Center for Naval Warfare Studies other than the Strategic Research Department 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 Naval War College 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 Naval War College educational mission. Nowhere has the history of warfare at sea been more thoroughly investigated and analyzed than at the Naval War College. 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 Naval War College 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.

(3) Internally Funded Research. Faculty members may undertake internally funded research on projects pertinent to the mission of the Naval War College 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 President via the appropriate dean and the Provost. Approval is contingent on the relevance of the topic to the mission of the Naval War College 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. The faculty expect the Naval War College 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. But, 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 mission, 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 Naval War College 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 mission, 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 Naval War College, and assess such requests based on the following criteria: the value to the individual faculty member's professional development; the ability of the individual faculty member to achieve the purpose of the period of professional development; the likely contribution of the outcome to the institutional effectiveness and intellectual reputation of the College; and 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 Naval War College 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, 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 Naval War College.

(a) *Professional Development Option I: Periods of Relief from Departmental Responsibilities with Full Salary.* A period of up 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 Naval War College. All applications shall be routed through the SJA 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 the Departments of Joint Military Operations, National Security Affairs, and Strategy and Policy; the Chairs of the Departments of Strategic Research, War Gaming, and Warfare Analysis and Research in the Center for Naval Warfare Studies; the Director of the College of Distance Education; the Dean of the College of Operational and Strategic Leadership; the Dean of the Center for Naval Warfare Studies; the Dean of Academic Affairs, 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 Academic Affairs 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 Naval War College 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.* A civilian faculty member may request a period of up to six months 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 chair/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. If the request is granted, the faculty member's basic salary and other entitlements are unaffected.

(c) *Professional Development Option III: Periods of Relief from Departmental Responsibilities without Pay*. 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 through the Human Resources Office.

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 Staff Judge Advocate about federal law and regulation.

(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 Naval War College. A civilian faculty member may submit a personal written request to the Provost, via the chain of command, for release from immediate Naval War College 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 a Naval War College faculty member is seconded to another government agency. During the period of secondment, 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 (IRB)*. The IRB reviews, monitors, and makes recommendations for research involving human subjects in order to protect the rights of the human subjects that will be tested. Because of the infrequency of human research at NWC, the College uses the Naval Postgraduate School's IRB.

(b) *NWC IRB Process:*

1. No human research will be initiated at NWC until the Provost approves it in writing following reviews by the NWC HRPP Committee and the NPS IRB. The VADM Joel T. Boone Chair of Health and Security Studies (Medical Sciences Chair) at NWC oversees the day-to-day operation of this program. The HRPP Committee consists of the Medical Sciences Chair, the Staff Judge Advocate, and a representative designated by the Provost.

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 contact a member of the HRPP Committee prior to initiating such research. 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.

3. If the Provost determines the project should be supported, the researcher shall complete necessary DON training about the HRPP, and provide the necessary documentation about the proposed research project to the NPS IRB, 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 can, by correspondence, approve the project for a period up to twelve months. If the research lasts longer, the researcher must again seek formal IRB review and approval.

4. If the researcher 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 Naval War College. They are strongly encouraged to engage in activities that will increase their professional visibility outside the Naval War College 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 Staff Judge Advocate 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 Staff Judge Advocate 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 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 Navy, NWC, or DoD. 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 Navy, NWC, or DoD 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 forums. 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 Officer 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 Naval War College 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. 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 a Naval War College tasking or intended to be part of curriculum development. Faculty members should consult with their respective chairs, directors, or deans and the Staff Judge Advocate 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 President 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 product owned by the

U.S. Government, which prohibits the acquisition of a personal copyright by the employee. 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 Staff Judge Advocate 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. There is no intent to establish a College policy that oversees the substance of any personal work.

(3) Security and Policy Review. Department of Defense 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 Department of Defense 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 Naval War College, the Department of the Navy, the Department of Defense, or any other branch or agency of the U.S. Government.

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. Disclaimers. 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 Naval War College 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 Naval War College 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 Staff Judge Advocate 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 Staff Judge Advocate's office, which is routed via the chain of command and the Staff Judge Advocate. 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 Naval War College 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 Department of Defense 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. Naval War College 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 Naval War College personnel is to the College; this responsibility must not be compromised.

h. Honoraria. Naval War College faculty members, staff, and students may accept honoraria under certain 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 Naval War College;

(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 Department of Defense, as designated by the Chairman, Joint Chiefs

of Staff (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); and

(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 Department of Defense, as designated by the Chairman, Joint Chiefs of Staff.

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 Naval War College 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 Naval War College 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 states: "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 2 of a course publicly ask a guest lecturer a question prefaced by the comment "Last week General Clausewitz 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 Mahan 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 the College of Distance Education, 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 in both formal and informal settings of ideas and concepts central to an education in JPME at the master's degree level. 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 Naval War College 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 Naval War College records is subject to release under the FOIA. To ensure consistent implementation of this policy, the President, NWC, 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 Staff Judge Advocate is the Naval War College 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 War 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 Staff Judge Advocate.

d. Videotaping and Audiotaping of Lectures

(1) Naval War College Faculty. Naval War College lectures may be recorded by audio- or videotape for subsequent review or use. Any recordings become the property of the Naval War College, and remain subject to the CHR discussed in paragraph 7a above. Copies of SECRET, and below, audio- and videotapes made or reproduced by the Audiovisual Branch will be controlled by designated control points. These tapes will not be transferred directly to an individual. Master classified video recordings of Naval War College–generated videotapes will be under the control of the Classified Material Control Officer (CMCO). Master recordings of Naval War College–generated classified audiotape cassettes, CD-ROMs, and DVDs will be maintained by the Naval War College Classified Library, located in the Main Library.

(2) Visiting Lecturers. Each Naval War College visitor invited to speak before an audience will be informed of the non-attribution policy 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 a Naval War College 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 Naval War College 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 Naval War College 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. Naval War College faculty and staff members shall, as a matter of practice and policy, utilize government computers and software to do government-related work.

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 Naval War College and the Navy include the following.

(1) The faculty member shall notify his or her departmental chair, who will then inform the departmental dean, Provost, President, Public Affairs Officer, and Staff Judge Advocate 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 faculty member shall contact 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 Public Affairs Officer is a 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 Department of the Navy's Equal Employment Opportunity objectives, it is the policy of the Naval War College to offer all persons equal opportunity for employment, advancement, and treatment regardless of race, color, sex, religion, national origin, age, or handicapping condition. The Naval War College 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 Naval War College achieves a balanced workforce.

(1) Disabled. The policy of the Naval War College 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 is a form of discrimination that will not be tolerated at the Naval War College. 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 Department of Defense and the Department of the Navy 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.

b. Grievance Procedures. What follows 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 Naval War College, 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 advisors, Human Resources Office Groton, or an EEO counselor designated by that office.

(2) Military faculty members have access to the President, Provost, and respective deans through their military superiors, via the chain of command. For academic issues they may reach the Dean of Academic Affairs via the departmental executive assistant, department chair, and the appropriate dean.

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. Naval War College 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 Secretary of the Navy's policy and objective are to provide a workplace free from illegal drug use. A Department of the Navy 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 Naval War College positions requiring access to TOP SECRET material 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 Naval War College 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 Naval War College 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 Naval War College record-system managers is contained in NAVWARCOLINST 5211.1 (series). The Staff Judge Advocate is the Naval War College Privacy Act coordinator and point of contact for administration of the Privacy Act Program within the College.

9. Support Services

a. <u>Preparation of Course Materials.</u> Timely and efficient preparation of course materials is an important support service for Naval War College 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 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 Naval War College. Material submitted for reproduction within the Naval War College 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. <u>Information Resources.</u> Staff and faculty use the Information Resources Department (IRD) Help Desk in Conolly Hall (C-116) to sign a user agreement for, and receive an account on, the Naval War College 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 a Naval War College 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 0730–1600, 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 (841-7744/6517) or via e-mail request at IRD-AV@usnwc.edu. Requests should be received at least forty-eight hours prior to the scheduled event. The Audiovisual Branch is located in Spruance Hall, room 116 (located at the far end of the lobby). 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 Naval War College Classified Library and are available for checkout to students although they remain subject to the CHR. Events that are recorded in Spruance Auditorium are stored and may be viewed on VBrick under Asset Library. Events are stored for not more than ninety days.

d. Visual Communications. The Visual Communications Department is located in Pringle Hall, room 348, and can be reached by telephone at 841-3537. The department is composed of the Desktop Publishing Division, the Graphic Arts Division, and the Photo Branch.

The Graphic Arts Division personnel serve as information processors. They will analyze requests in terms of objectives, the target audience, technological options, and aesthetic considerations, in order to create a visual solution to specific communication problems. Graphic Arts is capable of designing, developing, and producing all types of visual communication aids. While high-quality physical outputs remain a primary capability, the department emphasis has shifted toward the use of social media as a distribution format.

The Desktop Publishing Division support consists of preparation of any official published material, hard (printed material) and soft (electronic). Its personnel will design and prepare for printing/distribution various materials, such as official scholarly publications and journals, academic material, textbooks, invitations, etc. Services consist of document input, proofreading, CD/DVD burning (reproduction), and iPad formatting.

The Photography Branch is located in Pringle Hall basement, room 022. The Photo Branch services include official individual studio shots (for promotions, boards, command, etc.) and group photography, as well as document and archival recording photography. Hard-copy prints are provided on a limited basis, with digital files always available for personalized use in accordance with prevailing

DoD policies for specific imagery (e.g., aerial photos). For scheduling official service record photos and other photographic services, please call 841-3537.

The department also provides engraving support, which can be requested via the NWC intranet.

e. Speakers Bureau. Public speaking by military and civilian members of the Naval War College faculty, staff, and student body in a manner consistent with the DoD public information policy is encouraged. The Public Affairs Officer (PAO) administers the Naval War College 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. These requests will be referred to the Dean of Academic Affairs for consideration and appropriate action. 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 PAO. Questions about policy or about the propriety of proposed public statements should be referred to the PAO.

f. Naval War College Library. The Eccles Library's mission is to provide superior information resources and services, support student and faculty research and scholarship, and promote lifelong learning. Constituents include anyone associated with the College's educational offerings, as well as its research and analysis activities. The library also supports visiting scholars and dignitaries, as well as some needs of the broader Naval Station Newport community.

The library, named in honor of Rear Admiral Henry Effingham Eccles, a distinguished logistician from the Second World War, is composed of three primary elements: the Main Library, the Classified Library, and the Naval Historical Collection.

The Main Library is located in Hewitt Hall. It houses the reference collection, periodicals, microforms, rare books collection, government documents, Classified Library, and general circulating collections. The Main Library contains over 270,000 books and documents, over 1,700 periodical titles, over five hundred thousand microforms, and access to sixty online database systems.

The Classified Library Branch, located in a secure vault within the Main Library, houses over eighty thousand volumes, representing 53,000 titles (including Naval Warfare Publications). 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.

The Naval Historical Collection is located in Mahan Hall. It is the custodian of the Naval War College's 129-year history, the history of the Navy in Narragansett Bay, and naval warfare as practiced during the last two hundred years. It also

provides access to records of the former Newport Torpedo Station. The archives contain over one thousand manuscript and archival collections, with a total document count of over one million. The archives' oral histories bring to life the experiences of men and women who served in World War II and those who taught and administered the College. Its newspaper collection includes the sole extant run of the Newport *Navalog*, dating back to the early twentieth century, and documents important events on Naval Station Newport.

The library participates in a cooperative interlibrary loan program. Faculty members are given Consortium of Rhode Island Academic and Research Libraries (CRIARL) cards upon request, which enables them to use other academic libraries within the state.

The library is staffed from 0800 to 1630, Monday through Friday, but its facilities (including stacks) are available to faculty, staff, and students from 0600 to 2300 daily, seven days a week.

g. Naval War College Public Affairs Office. The Naval War College maintains a Public Affairs Office to support the College's communication objectives, 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 is the principal advisor to the College President and leadership on public affairs aspects of command activities and serves as a liaison with the U.S. Navy Office of Information (CHINFO) and the Navy OLA. 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 and to all Navy employees. This office should be consulted and informed in a timely manner about all events, programs, developments, media engagements, and publications that may have public affairs implications. Public Affairs Office activities include highlighting College news and information; facilitating general media requests for subject matter experts; coordinating Speakers Bureau community engagements; and managing web communications, including oversight for the public website to ensure compliance with Navy policy, administration of the College's external official presences on non-DoD websites, such as social media, and guidance regarding any official college/departmental use of public internet-based websites as communication tools. 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.

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 Naval War College since 1884. The museum is operated cooperatively by the Naval War College and the Naval History

and Heritage Command through a memorandum of agreement. The director of the museum is an NWC faculty member and chairs the Maritime History Department, Center for Naval Warfare Studies. The museum serves educational purposes for faculty, staff, and students attending the Naval War College 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 Maritime History Department.

i. Naval War College Foundation. The Naval War College Foundation is an independent, nongovernmental 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 Naval War College and its capabilities to carry out its mission, and for the improvement and beautification of the Naval War College physical facilities in areas where federal funds are not available. Legally a separate entity, the Foundation is neither controlled nor operated by the Department of Defense or the Naval War College. 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 Naval War College, 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. Vacation and Leave Policy

(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. 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 are 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 5 U.S.C. 63.

The federal-service status of the civilian faculty at the Naval War College means less flexibility in the faculty member's use of the holiday recess period and of the nonteaching periods during the academic year than that existing in civilian universities. Federal Service Regulations recognize only two possible types of employee status: work status or leave status (annual, sick, holiday, leave without pay, etc.). Thus, a faculty member must be in one or the other status throughout the year, even in periods when classes are not held. 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 department chairs. 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 obtain leave requests 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 the Thanksgiving and 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 Deputy/Chief of Staff.

Navy faculty and staff obtain 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 final disapproval authority for their military faculty and staff.

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 under special circumstances 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 complete an Application for Leave (SF 71) upon returning to work. Special provisions, including submission of medical certification or statement, must accompany the SF 71 for periods of absence in excess of three working days when requested by the supervisor.

When illness occurs during the workday, supervisors may authorize the individual to go home on sick leave or may require the individual to report to the Occupational Health Service, Building 43, for examination and limited treatment. Upon return to duty, the individual must make application for sick leave in the usual manner.

When sickness occurs during a period of annual leave, the period of illness may be charged as sick leave, and a corresponding reduction made in the charge against annual leave. However, the corresponding application for substitution of sick leave for annual leave must be submitted within two days after the return to duty.

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 the appropriate department head.

(2) Sick Leave under the Family Friendly Leave Act. The Family Friendly Leave Act (FFLA) of 1994 permits civil-service employees to use sick leave to care for ill family members or for bereavement. The basic limit for FFLA sick leave for full-time employees is forty hours in a leave year. That portion of the forty hours requested must be accrued at the time the leave is used. An additional sixty-four hours per leave year can be used if the use of that leave does not cause the amount of sick leave to the employee's credit to fall below eighty hours. Sick leave *cannot* be advanced to enable an employee to meet the minimum balance requirements. Limits are based on an employee's current tour. For example, the basic limit for a part-time employee or an employee with an uncommon tour of duty is equal to the average number of hours of work in the employee's scheduled tour of duty each week. Additional sick leave, up to the amount accrued during a leave year, can be used if the use of that leave does not cause the amount of sick leave to the employee's credit to fall below twice the basic limit amount. An employee's limit must be recalculated if the tour of duty changes. Note that the minimum balance must exist *after* deducting the leave being used for family care or bereavement.

(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 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. Naval War College 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) Pregnancy and Childbearing Leave. The employee has a responsibility to indicate an intent to request leave for maternity reasons at least thirty days in advance, including the type of leave, approximate dates, and anticipated duration, in order to permit the War College to prepare for any staffing adjustments that may be necessary. The College has an obligation to assure continued employment in the same position, or in a position of like seniority, status, and pay, to the individual who wishes to return to work following delivery and confinement, unless termination is otherwise required by expiration of appointment, by reduction in force, for cause, or for similar reasons unrelated to the maternity absence.

(6) Military Tours of Duty. Civilian faculty and staff members who are members of reserve components of the armed forces may obtain 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 or leave without pay may be used to cover the portion of the absence for which military leave is unavailable.

Applications for military leave must be submitted, as far in advance as circumstances permit, via an SF 71. Supervisors authorized to approve annual and sick leave authorize approval for military leave. Upon returning to duty at the Naval War College, the individual must submit a certified copy of military orders indicating completion of the military duty. The certification must show the inclusive dates of the active-duty period.

(7) 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 the SF 71, accompanied by a copy of the jury-duty summons. Naval War College 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. Auto Registration and Parking. All vehicles operated on the Naval Station Newport are subject to Naval Station vehicle regulations, and their owners or operators must obtain and display vehicle passes. Vehicles belonging to Naval War College personnel are also required to have Naval War College parking stickers to park in Naval War College lots. As a convenience, the Naval War College issues DoD vehicle decals and NWC parking decals to permanently assigned personnel upon presentation of vehicle registration, insurance, and driver's license; these authorizations are obtained from the Naval War College Security Office.

Special parking authorizations, e.g., reserved medical, temporary guest, or vehicle guest passes, may be requested on the intranet or from the Physical Security office. Individuals who are not officially assigned to the Naval War College or who are not guests of the Naval War College must obtain vehicle passes and decals through Naval Station Newport Pass and ID Office, outside of Gate 1.

Parking for Naval War College personnel is provided in semi-enclosed garages beneath Spruance-Conolly (P-1/P-2) and Hewitt Hall. There are two levels of parking—upper and lower. The lower level (P-1) of Spruance-Conolly and Hewitt parking garages, indicated by blue/green Naval War College decals, is designated for Naval War College staff and faculty. Staff car-pool spaces (when assigned) and additional medical spaces upon request are located in P-1. The upper level (P-2) of the Spruance-Conolly parking garage, designated by blue/green Naval War College vehicle decals, is reserved for faculty and staff, plus those with bona fide medical needs. Access to all garages is gained from the rear (seaside) road.

Limited additional parking spaces located between Pringle, Luce, and Mahan Halls are reserved for vehicles bearing blue/green Naval War College decals. The McCarty Little parking area, except for specifically reserved and handicapped spaces, is open to all War College staff and faculty personnel. Open parking is also available north of McCarty Little Hall in the parking lots between the Naval Supply Corps School and the base gym. Vehicles displaying blue, yellow, or green Naval War College decals are prohibited from using Naval War College visitor-parking spaces; if found in those spaces, they will be ticketed.

d. Standards of Attire. The Naval War College 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, through the Commanding Officer, Naval Station Newport, 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 Naval War College faculty and student

personnel, and serves to inform civilian government service employees of suggested attire for various occasions.

(1) Standards. The Naval War College 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 those the individual supervises, 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 trousers/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. Turtlenecks, mock turtlenecks, 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 coat or sweater and tie, dress-quality collared shirt, and dress slacks for men and

either a dress or sport coat, dress blouse, and pants or skirt for women. "Professional" is distinguished from "informal" forms of dress in that the attire is more relaxed and the jacket and trousers/skirt may be of differing fabrics, colors, or patterns. 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. Turtlenecks, mock turtlenecks, 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 pants/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.

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	Service	Uniform: Officer	Uniform: Enlisted	Civilian Male Equivalent	Civilian Female Equivalent
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.

(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.

(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, Staff Judge Advocate, 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, Center for Naval Warfare Studies (less the War Gaming Department). 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. 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:

- During visits of four-star flag/general officers or equivalent civilian executives, or when personally receiving or escorting distinguished visitors on behalf of NWC.
- During the NWC check-in process; students may check out in appropriate civilian attire, as described below.
- 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. Attire considered not appropriate are jeans, micromini skirts, shorts, and extremely casual sports clothes, as well as clothing that distracts or may cause embarrassment to coworkers, or is a safety hazard.

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. 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 on board 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 (College of Naval Warfare, College of Naval Command and Staff, NCC, NSC, or CDE).

(b) *Flag Quarters Functions*. NWC-issued name tags (vice security badges) are required 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.

(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. <u>Health and Physical Fitness Program.</u> All members of the Naval War College 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, military 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. <u>Beverages, Food, and the Use of Tobacco Products in Facilities.</u> Food and beverages are not allowed in the library or in Spruance and Pringle Auditoriums. Smoking is not permitted within any Naval War College 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. <u>Emergency College Closing and Class Cancelation</u>

(1) Nonessential Personnel. On rare occasions, potentially destructive weather or other emergency conditions may require a delay or cancelation of classes and/or other operations at the Naval War College. Only the President, Provost, or the

Deputy/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 Naval War College 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*. The Public Affairs Office may also post 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 Naval War College 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 Deputy/Chief of Staff.

h. Travel

(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 Staff Judge Advocate and the President or Provost.

Within these constraints, the Naval War College 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 Navy/Marine 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.

(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. The Provost shall review all requests for overseas travel.

(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. Part I of OPNAV Form 5050/11 will be completed by personnel requesting travel to meetings sponsored by societies and organizations that are not part of the federal government. Prospective travelers must include details regarding acceptance of any reimbursement in connection with such travel.

(d) Command Evaluation will monitor compliance with specified procedures, reporting any violations to the President, NWC, 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, Dean of Academic Affairs, the Dean of Naval Warfare Studies, the academic department chairs, and the Director of the College of Distance Education.

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. With the deregulation of the airlines, there is an opportunity to save considerable travel dollars through advance planning. 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 nonavailability 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 nonavailability. Where no government quarters exist at the destination, an appropriate comment to that effect must be entered in Block 21. When travelers visit NWC, their TAD orders must be endorsed by the Administrative Services Division. A nonavailability-of-government-quarters endorsement will be made on the orders only when the TAD orders are accompanied by written confirmation from the Combined Bachelor Quarters (CBQ). 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 CBQ.

6. Rental Cars. Rental cars should be used only when necessary. Authorization for rental cars must appear on the original orders. Rental cars will normally not be authorized in areas where adequate mass-transit facilities exist. Arrangements for rental cars will be made through the PTO.

7. Processing of Travel Claims. Travel claims for all TAD travel will be forwarded to the NWC Comptroller within five working days after completion of travel. Claims should not be forwarded directly to the Disbursing Office for payment. The Comptroller is responsible for reviewing and logging the claims to ensure proper internal control, and for forwarding the claims to the Disbursing Officer for payment. The Comptroller is also responsible for reviewing travel records routinely to ensure claims are promptly filed and paid. Department chairs and directors will be provided names of individuals who have not filed travel claims in a timely manner. After a claim is filed and a balance is due to the government, the Disbursing Officer shall notify the traveler in writing of the amount of the excess travel advance and request repayment within fifteen calendar days from the date of the letter of notification. If repayment is not received by the sixteenth calendar day, the Disbursing Officer shall initiate a

pay account checkage or salary offset for military and civilian employees, respectively.

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 CBQ 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 Department of Defense available for travel may not, without the approval of the Secretary concerned or his 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 President, NWC. 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 President 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.

(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 OPNAVINST 4001.1 (series), the President or the Provost may accept, as a gift, cash or in-kind reimbursement of up to $12,000 from a nongovernment source for travel expenses when accepted in advance of the official travel. 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 and the NWC Staff Judge Advocate for Provost review and approval. If approved, once the trip is completed, the faculty member shall report the actual value of the gift received to the Staff Judge Advocate 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 or civilian employee concerned 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 Director, Security Department, well in advance. 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 office of the Director of Personnel.

(a) *Special Travel Briefings.* Special travel briefings and debriefings may be required in circumstances offering the potential for Naval War College personnel to interact with representatives from nations on a designated-country list. The Director, Security Department is responsible for identification of designated countries upon request. 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 well in advance to the Director, Security Department.

(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. Naval War College 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 Matter.</u> Security of information and its physical control are the direct and personal responsibility of every person in the Department of Defense. The Naval War College 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.

In general, all faculty members 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 Naval War College 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 Naval War College may be justified in furtherance of the Department of the Navy 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 Naval War College 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 Naval War College Information Security Manual. The Naval War College Security Manager is required to accomplish an annual inventory of all SECRET documents.

j. Security Passes, Identification Badges, and Building Access. Naval War College facilities are for official business only and are not open to the general public except by invitation. Therefore, all personnel attached to the Naval War College 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/Red Checkerboard	TOP SECRET
Blue	SECRET
Green	CONFIDENTIAL
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 Naval War College personnel. These passes are also required for gaining entry into Naval War College 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 Naval War College 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, war-game 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 Naval War College. 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. Naval War College faculty and staff are prohibited from taking any action that results, or could result, in a commitment of Naval War College funds unless formally authorized to do so. As delegated by the President, the Naval War College Comptroller and Contract Officer have sole authority within the command to commit Naval War College funds.

n. Telephone. The Naval War College 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 Department of Defense that provides nonsecure 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 Deputy/Chief of Staff and the responsible MRM coordinate the Naval War College 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 Naval War College 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, Conolly, room 116, 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 Naval War College security badge.

Upon completion of the Naval War College 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 Naval War College 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) Military Students. Military students of the College of Naval Warfare (CNW) and the Naval Command College are Lieutenant Colonels, Colonels, Commanders, and Captains, from all Services and invited countries, with approximately sixteen to eighteen years of commissioned service, while resident students of the College of Naval Command and Staff (CNC&S) and Naval Staff College are Majors or Lieutenant Commanders, from all services and invited countries, with approximately twelve years of commissioned service. The Naval War College 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. This selection is based on professional performance and a clear potential for higher responsibilities. Recent policy allows a selected number of Lieutenants to attend the College of Naval Command and Staff. Navy Personnel Command screens these members closely. The Naval War College in conjunction with the Chief of Naval Operations staff approves these Lieutenants on an individual basis.

(2) Civilian 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 College of Naval Warfare and civilian applicants in the grade of GS-13 or equivalent for admission to the College of Naval Command and Staff. Admission for civilian students nominated to the resident program requires a formal application to the Naval War College. 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).

b. Nonresident Students. 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, the CDROM-Based Program, and the Naval War College–at–Naval Postgraduate School Program. Admission to the Fleet Seminar, Web-Enabled, and CDROM-Based Programs requires formal application through the College of Distance Education. 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 courses and is composed of the same three core ILC courses: Joint Maritime Operations (JMO); Theater Security Decision Making (TSDM); and Strategy and War (S&W). Additionally, there is a growing list of elective courses available through the College of Distance Education. Students enrolled in the Fleet Seminar Program may be eligible to apply to the nonresident Graduate Degree Program upon completion of their first Fleet Seminar Program course to begin work leading to the War College Master's Degree in National Security and Strategic Studies. The GDP Admissions Board reviews all GDP applications and recommends worthy candidates for selection to the Dean of Academic Affairs, who then makes the final selections. Additional information concerning eligibility requirements and admissions procedures can be found on the Graduate Degree Program 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 Naval War College offers several special programs that provide resident students opportunities to conduct advanced research at the College. These programs provide enhanced educational experiences for select students; they 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 Special Research 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 four Advanced Research Groups established within the Center for Naval Warfare Studies under the responsibility of the Warfare Analysis and Research Department. Additionally, there is one Advanced Research Group under the auspices of the College of Operational and Strategic Leadership. 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 Department of Defense. 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) The Stockdale Group: Established in 2006 to foster innovative thinking on operational-level leadership and conduct research, analysis, and gaming to determine a set of leadership competencies required of twenty-first-century leaders, while providing an enhanced educational experience for a select group of officers attending the senior-level course. It consists of a linked program of course work in the core and elective curricula, as well as group research projects. The program culminates in a presentation of the research project to the CNO just prior to the June graduation. This program is the only advanced research project to include international students, and it is not open to students starting/graduating in March.

(4) Gravely Group: Students in this group pursue individual research projects into integrated air and missile defense and undersea warfare, based on current and future operational requirements and adding to the overall body of knowledge in these mission areas.

(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 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 substitute for single core 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. The most successful students in this program have some level of experience in research methodology and in writing thesis-length papers.

For both the Group and Individual ARPs, ARP 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

When enrolling in electives, all students are required to choose a CNO-directed area of study. College of Naval Warfare students will be required to take two electives in a chosen AoS. The third elective can be in any AoS. Students in the

College of Naval Command and Staff will be required to take three electives in the chosen AoS.

a. Resident U.S. Student Participation. All U.S. students are required to enroll in one elective for credit each trimester. If approved by the Associate Dean of Academic Affairs for Electives and Directed Research, a student may fulfill this requirement by conducting a directed research project. A student must commit to a designated AoS before the student's first term of study commences. Student assignment to an AoS may be limited by the total number of seats available in the elective courses being taught in a particular term. Once an AoS is selected and assigned, it may be changed only with written permission from the Associate Dean of Academic Affairs for Electives and Directed Research. Once a student has been assigned to a seat in an elective course, normally the student will remain in that course for the entire trimester. Transfer to another elective course may be considered by the Associate Dean of Academic Affairs for Electives and Directed Research based on a written recommendation by the Dean of Students and, as appropriate, the senior Service advisor, when the needs of the specific Service are involved.

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 or her selected AoS upon approval of the coordinator of that AoS, the professor who will supervise the directed study/research elective, and the Associate Dean of Academic Affairs for Electives and Directed Research. An exception to this rule will be made in the case of students enrolled in an ARP. In this case, students may take two directed research electives as part of their research for the ARP.

c. Auditing. A student desiring to take one or more elective courses outside his or her selected AoS, and in addition to the courses required in that AoS, 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 Academic Affairs for Electives and Directed Research, 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. In support of joint acculturation, each AoS is formed with a mix of intermediate- and senior-level students representing different services, departments, and agencies. Some seats in certain electives may be reserved to ensure student representation from these respective organizations. Also, some seats may be reserved for incoming students for opportunities within each AoS.

e. Class Size. Class sizes 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 by the Naval War College.

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' elective courses are two-credit courses and international students' elective courses are one-credit courses; they require 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 three-credit elective course requires a written product of twenty to twenty-five pages, or an equivalent combination as described above. Similarly, a four-credit elective course requires a written product of thirty-five or more pages, or an equivalent combination as above. Three-credit and four-credit courses are normally limited to certain courses offered by the College of Distance Education through its Web-Enabled Program.

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 one hundred pages per week for each two-credit elective course.

h. Faculty and Staff Participation. Members of the Naval War College 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 Academic Affairs for Electives and Directed Research.

i. International Student Participation. International officers may enroll in any unclassified elective on an ungraded basis. International students are encouraged to take one elective per trimester.

j. Participation of Non-College-Affiliated Individuals. Certain individuals not affiliated with the War 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 Academic Coordinator in the Electives Office for further review.

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 Academic Affairs for Electives and Directed Research. 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 Naval War College Graduate Degree Program.

l. Teaching Electives. Members of the resident faculty are encouraged to participate in the Electives Program as articulated in their respective memorandums of understanding. Courses and the timing of those offerings should be coordinated

among the Associate Dean of Academic Affairs for Electives and Directed Research, deans/department chairs/directors, and individual faculty members, in recognition of meeting Naval War College needs and other faculty responsibilities. Effective participation in the Naval War College's Electives Program shall constitute substantive and explicit service to the Naval War College's mission, functions, and tasks beyond the teaching or research responsibilities associated with the individual's specific position in the Naval War College organization.

Deans, department chairs, and/or directors shall give appropriate weight to their individual faculty members' effective and sustained participation in the Naval War College Electives Program in their assessments of the faculty members' continued capacity for sustained productivity and engaged, creative service as members of the Naval War College.

4. Faculty/Staff Pursuit of JPME and/or Master of Arts Degree in National Security and Strategic Studies

a. Qualifications for Program. The process of qualifying for an NWC MA degree or diploma may be accomplished over the entire period of the individual faculty member's assignment to NWC. Department chairs or directors must first determine the effect on departmental or organizational manning 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-4 or selected for 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 gaming faculty who earns course equivalents can complete diploma requirements in two years. Other faculty and staff can normally qualify for an NWC MA or diploma, taking all three core courses, in three years. The President will consider exceptions on a case-by-case basis.

b. In-Residence Procedures. NWC faculty and staff who wish to earn the NWC MA degree or diploma from the CNW or CNC&S in residence will:

(1) Submit an academic plan, endorsed by his/her department chair, director, or supervisor, as well as the department chair(s) offering the course(s), to the Dean of Academic Affairs for approval. The Dean of Academic Affairs 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 Academic Affairs and the Registrar.

c. NWC 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 MA. An NWC faculty member assigned to one of the resident 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 course learning objective, but outside the faculty member's immediate teaching field. The department chair will assign and provide for grading the product of this requirement.

(2) Take in residence the other two core courses (Strategy and Policy, National Security Decision Making, 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 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 Naval War College 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 by the command.

(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 Naval War College 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 NWC without permission of the instructors.

(b) Submitting a paper or substantially the same paper previously prepared for some other purpose outside NWC without acknowledging that it is an earlier work.

c. Action

(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 Director, College of Distance Education, 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, the appropriate chair or director will forward the evidence and any other pertinent information about the case, along with a disposition recommendation, to the Dean of Academic Affairs.

3. The Dean of Academic Affairs will review the case and provide a recommendation to the Provost as to whether or not it should be referred to the 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 Dean of Academic Affairs, 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 President will be notified of the pending action.

5. If the case is referred to the Academic Integrity Review Committee, 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 Staff Judge Advocate 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.

(b) The Academic Integrity Review Committee will be composed of the following members:

- Dean of Academic Affairs (serves as chairman)
- Dean of Naval Warfare Studies (as required)
- Dean of Operational and Strategic Leadership (as required)
- Academic department chairman/director (or designated representative)
- Dean of Students (for U.S. students)
- Service advisor (as applicable)
- Dean of International Programs (or designated representative, as required)
- Two at-large faculty members
- Other(s) as deemed appropriate by the Provost
- Chief of staff to the Provost (serves as executive secretary)

(c) The Academic Integrity Review Committee will thoroughly review the case, interview the student if physically present, make findings of fact, and recommend appropriate action to the President 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 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. Scope

(1) All faculty, staff, and students shall be familiar with and follow the provisions of this section.

(2) The Dean of Students 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) 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 appropriate class president or seminar leader and/or 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>

"Officers are on duty 24 hours a day, seven days a week. They are responsible for living a respectable public life and their private affairs must be such that should they become known, they meet the standards of moral and ethical rectitude demanded by the public and the standards of the profession. Any private act that casts doubt on an officer's integrity, judgment, and reliability is grounds for negative evaluation of his or her career potential and, if serious enough, separation."

—Department of Defense, *Armed Forces Officer* (Washington, DC: National Defense University Press, 2007), app. 5, p. 142.

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 matter reviewed by the President, NWC via the Dean of Students (U.S. students) for appropriate disposition. Based upon a review of the evidence and after consideration of any rebuttal offered by the student, President, NWC 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. Discussion. 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 Naval War College to measure how well its educational objectives are being fulfilled.

b. Policy

(1) Resident Students

(a) *U.S. Students*. All U.S. resident students in the College of Naval Warfare and the College of Naval Command and Staff will be examined and graded in the three trimester studies prescribed by the Departments of Joint Military Operations, National Security Affairs, and Strategy and Policy. The final academic grade will be derived by equally 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 elective per trimester from an elective area of study that will require an allocation of about 20 percent of his/her effort, with the balance being directed to the prescribed program. 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 Academic Affairs after administrative review of the particular circumstances involved. Department chairs and the Associate Dean of Academic Affairs for Electives and Directed Research are responsible for notifying the Dean of Academic Affairs 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*

1. 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; international officers may choose to complete exams and submit papers for NSA's National Security Decision Making course on a voluntary basis, but they are expected to participate in the final exercise team project. Additionally, international officers work together during the NSDM course to provide a comprehensive briefing on their respective regional security issues to the entire CNW class. The faculty evaluates their academic work and provides substantive,

written feedback. Additionally, the Field Studies Program, designed to promote understanding of U.S. culture and institutions as well as American political, social, and economic life, is an integral element of their core educational program. They are encouraged to participate in the Electives Program.

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; international officers may choose to complete exams and submit papers for NSA's Theater Security Decision Making course on a voluntary basis, but they are expected to participate in the final exercise team project. Additionally, international officers work together during the TSDM course to provide a comprehensive briefing on their respective regional security issues to the entire CNC&S class. The faculty evaluates their academic work and provides substantive, written feedback. Additionally, the Field Studies Program, designed to promote understanding of U.S. culture and institutions as well as American political, social, and economic life, is an integral element of their core educational program. They are highly encouraged to participate in the Electives Program.

(2) Nonresident Students

(a) *Intermediate-Level Program Students*. Nonresident students of the College of Distance Education (CDE) must complete versions of the three core courses of Joint Maritime Operations, Theater Security Decision Making, and Strategy and War 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 three core courses as prescribed by relevant syllabi. The final academic grade will be derived by equally weighting and averaging numerical results obtained in the three 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.

(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 Joint Military Operations, National Security Decision Making, Strategy and Policy, prescribed academic conferences, the Speakers Program, and an elective area of study consisting of three elective courses.

(b) *Intermediate-Level PME with JPME Phase I*

1. For resident students, the academic program consists of a core course, including Theater Security Decision Making, Strategy and War, Joint Maritime Operations, prescribed academic conferences, and an elective area of study consisting of three elective courses. Resident students must also participate in the Speakers Program.

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, Strategy and War, and Joint Maritime Operations.

(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 instructors 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 Academic Integrity Review Committee 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/participation) 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) 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.
Pass	Expected performance of a graduate-level student in meeting all course requirements.
Fail	Unsatisfactory performance, to 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 for Grading for Distance Learning Courses—Intermediate-Level (Web-Enabled or CDROM-Based) and Online PME

(a) *Intermediate-Level PME.* Students in the Web-Enabled and CDROM-Based Programs complete both written assignments and critical-thinking multiple-choice examinations. Grading of the written work is based on the criteria listed in 7c(1)(d) above. On the critical-thinking multiple-choice exams the student must attain a grade of 70 or higher on each of the examinations to receive a "Pass" for that part of the course.

(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 Program 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. Examinations 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 seven workdays.

f. Academic Requirements for Graduation

(1) Resident U.S. 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 three elective courses are awarded the Naval War College Master of Arts Degree in National Security and Strategic Studies 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 three elective courses are eligible for the NWC diploma and the appropriate JPME certification.

(2) 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) three approved elective courses are also awarded the Naval War College Master of Arts Degree in National Security and Strategic Studies. Successful completion of other nonresident, intermediate-level programs is recognized by the award of the College of Distance Education diploma and JPME Phase I certification. To earn either the Naval War College CNC&S diploma or the College of Distance Education diploma, a student must complete all three core courses with an overall grade average of B– or better and not more than one course grade in the C category.

(3) Credit Hours Policy. A final course grade below 80 is below acceptable standards for the MA 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. Counseling

(1) Resident Students. Faculty advisors and seminar moderators will provide students with periodic evaluations of their written and oral performances. This feedback is particularly important to apprise students of their academic performance. Students are encouraged to seek frequent counsel during the faculty office hours that have been set aside for that purpose.

(2) CDE Students. Fleet Seminar and NWC-at-NPS students should arrange specific counseling sessions with their local adjunct faculty. Students in the Web-Enabled or CDROM-Based Program should utilize e-mail, conventional mail, and/or telephone discussions to interact with CDE faculty. Distance learning students enrolled via NKO should use the identified CDE point of contact for academic counseling.

h. Statistical Data on Grades. 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. Review of Grades

(1) Resident Students. Within seven 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 Dean of Academic Affairs, whose decision will be final.

(2) CDE Students. Nonresident students may appeal grades (within fifteen days) to the applicable division head within CDE. Appeals may ultimately be

carried through the Director, CDE to the Dean of Academic Affairs, 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. Grade due date will be agreed on between the Dean of Academic Affairs 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 for Electives and Directed Research: Provides the Dean of Academic Affairs 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 chairman and the Dean of Academic Affairs 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.

b. <u>Transfer Credit.</u> The policy of the Naval War College 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 the College of Distance Education will be accepted upon the approval of the Graduate Degree Program Manager using guidelines established by the Associate Dean of Academics for Electives and Directed Research.

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 Academic Affairs, 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 and CDROM-Based 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 or CDROM-Based work, the distinction determination will be based on the program in which the student is enrolled at the time of completion.

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 Academic Affairs, 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 Academic Affairs, 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.

(3) Each year the Naval War College Foundation sponsors a monetary award to an outstanding College of Distance Education 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 College of Distance Education Web-Enabled and/or CDROM-Based 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 Director of CDE, 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 Academic Affairs 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 Academic Affairs 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 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 a Naval War College 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 Marine Corps Association Award or the CJCS/SECDEF essay competitions, 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 Prizes (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) ***FAOA Award (2):*** Awarded for the best CNW and CNC&S research papers on international affairs topics, to include regional area and policy issues, FAOA language/culture, and related intelligence and security cooperation

matters. Each winner will receive a certificate and a commemorative plaque; the FAOA will consider the winning papers for publication in its journal.

(d) ***Interagency Partnership Prize:*** Awarded for the best paper contributing to understanding and promoting innovation related to military or Defense Department collaboration with civilian departments and agencies.

(e) ***Naval Intelligence Foundation's Admiral Ike Kidd Award:*** Awarded to the best paper that makes the most significant contribution to intelligence support within a joint force operational context. Unclassified papers are preferred for this award, but classified papers up to and including SECRET will also be considered. Please contact Dr. Connolly in the NWC Writing Center for instructions on submitting a classified paper. The winner will receive a lifetime membership in the Naval Intelligence Professionals (NIP) organization and a commemorative plaque.

(f) ***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.

(g) ***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 five hundred dollars.

(h) ***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.

(i) ***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.

(j) ***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.

(k) ***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.

(l) ***Naval Submarine League Prize:*** Awarded for the best paper related to submarine warfare by any student at the Naval War College. 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 one thousand dollars, and an invitation to the Annual Symposium Awards Luncheon held in the Washington, DC, area.

(m) ***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.

(n) ***Robert E. Batemans' International Prize Essay Award:*** Awarded for the best paper submitted by an international student attending the Naval Command College during his or her year of resident study. Papers submitted should focus on the student's original thinking on the elements of force planning or current operational or strategic issues of maritime interest. Topics for consideration might include (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 that can be applied to current strategies or operations. The winner will receive a certificate and a cash prize of one thousand dollars.

(o) ***Captain Walter B. Woodson, Jr., USN, Academic Memorial Prize:*** Awarded to a Naval Staff College student in the six-month course who submits a paper that satisfies the Naval Staff College research paper requirement. The winner will receive a certificate and engraved clock and barometer set.

(p) ***Zimmerman/Gray International Essay Award:*** Awarded for the best paper submitted by an international student attending the Naval Staff College during his or her year of resident study. Papers submitted should focus on the student's original thinking on the elements of force planning or current operational or strategic issues of maritime interest. Topics for consideration might include (1) concepts for the use of military missions; (2) concepts for the use of military

forces—unilaterally, bilaterally, or regionally; (3) historical insights from maritime campaigns that can be applied to current strategies or operations; or (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 cash prize of one thousand dollars.

(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 one thousand 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) ***Michael Handel Prize:*** Professor Michael Handel, one of the most distinguished strategic thinkers ever to have served on the faculty of the Naval War College, 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 and 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. The Michael Handel Strategy Prize Essay Award is awarded to a student who writes an original essay for the final examination in the resident intermediate- and senior-level Strategy and Policy courses. This essay must exhibit qualities that Professor Handel especially prized in strategic analysis: it will be well-written; it will systematically examine a difficult, recurring strategic question and derive insights from both history and strategic theory; and it will reflect a true dispassionate analysis of the issue. The Strategy and Policy faculty will nominate exceptional examination essays for consideration by the prize committee. The winner will receive a certificate and a cash prize of one thousand dollars.

(t) ***James V. Forrestal Award (2):*** Awarded to two resident College of Naval Warfare seminars at the conclusion of the NSDM course offered by the

National Security Affairs Department. The award is presented to two seminars who distinguish themselves during the NSDM capstone event, the final exercise. The top two seminars are selected through a rigorous process where their final exercise briefings are evaluated on the thoroughness of their presentations and their analysis of the future security environment, their outlines of both national security and national military strategies, and their descriptions of the operating concepts that would support their strategies. Additionally, the seminars present a force structure that is capable of advancing national interests, defending the United States, and achieving the strategic objectives assigned to the military. The top two seminars are then chosen to brief a distinguished panel of senior national security professionals. Winners receive a commemorative certificate.

(u) The ***Naval War College Review*** **Prizes** 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 Naval War College.

Addendum 1
Format for Statistical Report on Grades

Code:

Date:

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)_____

3. Percentile Distribution. This distribution shows relative standings of grades broken down into percentile groupings. If your grade is at the 80th percentile, then you scored better than 80 percent of the class.

Percentile	Grade
100th	_____
80th	_____
60th	_____
50th (Median)	_____
40th	_____
20th	_____

_____
(Signature)

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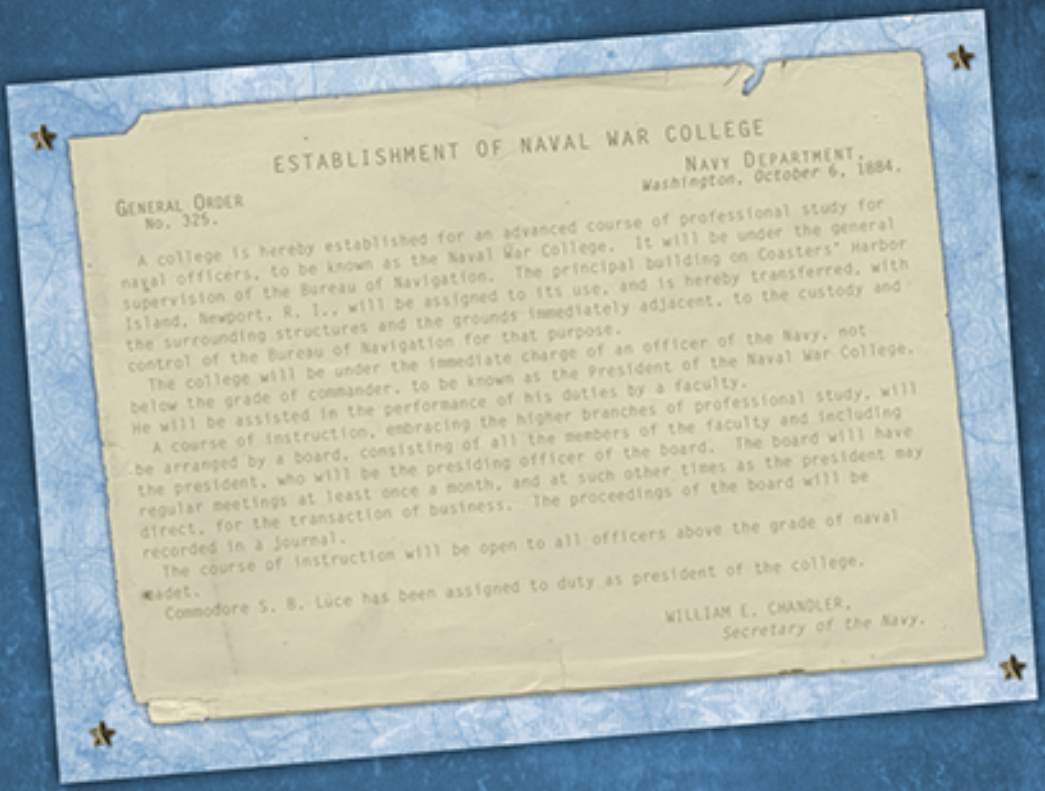

ESTABLISHMENT OF NAVAL WAR COLLEGE

NAVY DEPARTMENT,
Washington, October 6, 1884.

GENERAL ORDER
No. 325.

A college is hereby established for an advanced course of professional study for naval officers, to be known as the Naval War College. It will be under the general supervision of the Bureau of Navigation. The principal building on Coasters' Harbor Island, Newport, R. I., will be assigned to its use, and is hereby transferred, with the surrounding structures and the grounds immediately adjacent, to the custody and control of the Bureau of Navigation for that purpose.

The college will be under the immediate charge of an officer of the Navy, not below the grade of commander, to be known as the President of the Naval War College. He will be assisted in the performance of his duties by a faculty.

A course of instruction, embracing the higher branches of professional study, will be arranged by a board, consisting of all the members of the faculty and including the president, who will be the presiding officer of the board. The board will have regular meetings at least once a month, and at such other times as the president may direct, for the transaction of business. The proceedings of the board will be recorded in a journal.

The course of instruction will be open to all officers above the grade of naval cadet.

Commodore S. B. Luce has been assigned to duty as president of the college.

WILLIAM E. CHANDLER,
Secretary of the Navy.

U.S. NAVAL WAR COLLEGE
Est. 1884
NEWPORT, RHODE ISLAND

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Newport, Rhode Island 02841
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