Faculty Handbook Naval Postgraduate School, Monterey California, June 2006

Monterey, California. Naval Postgraduate School

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The mission of the Naval Postgraduate School is to provide advanced professional studies at the graduate level for military officers and defense officials from all services and other nations. The school's focus is to increase the combat effectiveness of the armed forces of the United States through high-quality education and research programs that support the unique needs of the defense and national security establishment.
This handbook is a compilation of policies and practices affecting the faculty at the Naval Postgraduate School. While it attempts to accurately depict these policies and practices, it must be recognized that these subject change over time and different administrators.

This handbook sets forth the school policies and procedures relating particularly to the faculty. Requirements for degrees or descriptions of curricula are found in the policy manual of the academic council and in the school catalogue. Other school instructions have been referenced, and are duplicated only when essential. The Policy Regarding Appointment, Promotion, Salary and Tenure of Office of Civilian Members of the Faculty is found in Appendix A.

Guiding the faculty at the Naval Postgraduate School is a continuous process. Faculty should be aware that, over time, this Faculty Handbook and its policies may be revised at any time as required.

It is noted that the Graduate School of Business and Public Policy (GSBPP) has no departments. The responsibilities and actions described in this Handbook for Chairs will be performed by the Dean of the GSBPP (or delegated representatives).

Richard Elster
Provost/Academic Dean
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Appendix A - Policy Regarding Appointment, Promotion, Salary, and Tenure of Office of The Civilian Members of the Faculty (1989)......................................................... 82
SECTION I. THE NAVAL POSTGRADUATE SCHOOL

The Naval Postgraduate School (NPS) was established in 1909 to meet the advanced educational needs of naval officers in marine engineering, wireless communications engineering, and weapons development. Since that time, the academic programs of the School have continued to meet the changing needs of the Navy, the Department of Defense, and the Department of Homeland Security. The student body includes U.S. military officers from each of the Services, U.S. government civilians, state and local government civilians, defense industry civilians, and international officers from many allied nations. The programs of study depend on the academic disciplines of the academic departments and Schools, as well as the interdisciplinary strengths from the NPS Research Institutes.

Through the years, the School has carefully nurtured quality educational standards to meet the needs of its select student body. Unlike most graduate schools, NPS has a well defined mission that allows it to tailor graduate programs to meet specific professional military demands in a quality educational experience. NPS offers graduate programs, both on and off campus, as well as a wide range of executive education and certificate programs.

The broad mission responsibility of the Naval Postgraduate School toward the advanced education of naval officers and for conducting relevant research is reflected in its chartered mission in SECNAV Instruction 1524.2A:

The NPS exists for the sole purpose of increasing the combat effectiveness of the Navy and Marine Corps. It accomplishes this by providing post-baccalaureate degree and non-degree programs in a variety of subspecialty areas not available through other educational institutions. The NPS also supports the DoN through continuing programs of naval and maritime research and through the maintenance of an expert faculty capable of working in, or as advisors to, operational commands, laboratories, systems commands, and headquarters activities of the Navy and Marine Corps.

Since the U.S. emphasizes joint and coalition warfare, carrying out the above mission means reaching out to all US services and defense and national security enterprises, their supporting industrial base, and our allies.

The contributions of a degree-granting, research-oriented NPS to the Nation’s overall combat effectiveness reflect:

- Its ability to develop and offer unique curricula e.g., undersea warfare; electronic [information] warfare; weapons engineering; command, control, and communication; and naval intelligence.
- The ability to conduct classified instruction and research.
- Its flexibility in tailoring general educational subjects to the particular interest of the military, e.g., organization, space technology, and manpower management.
- The ability to structure curriculum and course sequences to meet professional need and maintain officer warfare specialty with minimum time away from professional responsibilities.
• Its ability to meet DoN requirements rapidly and effectively, by creating and adapting relevant programs, and terminating obsolete programs.
• The benefits of bringing together officers from all services, our Allies, and key civilians from the national security community, increasing the professional dialogue among officers and civilians engaged in related efforts to solve significant defense and national security problems.
• The cultivation of a unique pool of specialized faculty whose teaching and research expertise is particularly relevant to the national defense infrastructure.

This mission of the Naval Postgraduate School establishes the continuing requirements for the combination of excellence of instructional and research programs and responsiveness to change and innovation in the technology and management of the Navy and the Department of Defense.

The unique mission of the NPS and the special character of the student body demand a premium on excellence of instruction. To be effective instructors, faculty must not only be fully up-to-date in their areas of expertise, but they must also be aware of current and future defense and national security applications. Most programs of study at the School have a Flag Officer, General Officer or senior official (called a "program sponsor") who oversees the career and utilization assignments of NPS graduates. Both formal and informal dialogue between NPS and these program sponsors provide an invaluable constructive mechanism to determine evolving educational needs.

The primary instructional objective of the NPS graduate programs is to meet the "educational skill requirements" specified by the program sponsors. The awarding of degrees is a by-product of this effort, but an essential one. It is highly desirable to the Services and individual students that the scholarly achievements of the students be rewarded by conferring the appropriate academic degree. The courses of study, although tailored to meet the particular needs of the sponsors fulfill faculty-established standards for academic degrees.

For the purpose of awarding degrees, NPS is accredited by the Western Association of Schools and Colleges (WASC). Additionally, the Electrical Engineering, Mechanical Engineering, and Astronautics programs are accredited by the Accreditation Board for Engineering and Technology (ABET) and the management programs are accredited by the National Association of Schools of Public Affairs and Administration (NASPAA) and by the Association to Advance Collegiate Schools of Business (AACSB).

In keeping with its mission, the School fosters a research program to benefit the students' educational programs, to stimulate and encourage individual professional development, to attract and retain a talented faculty, and to examine frontiers of knowledge in response to the defense and national security needs of the Nation. The School enjoys a comparative advantage in its ready access to the entire Defense and National Security establishments including laboratories, offices, and operating forces.

The Naval Postgraduate School's excellent relations with the Office of Naval Research, naval laboratories, and sponsors of curricula benefit the research programs. In general, individual and group research projects, which may be interdisciplinary, are reimbursably supported by the Navy, by other Department of Defense agencies, and by other branches of the government, including the National Science Foundation, the Department of Energy, the Department of Homeland Security, and the National Aeronautics and Space Administration. Research support from private industry may also be sought through the establishment of a Cooperative Research and Development Agreement (CRADA).

In addition, a NPS Institutionally Funded Research Program (NIFR), supported by Navy operating funds, encourages the development of new research ideas that can be proposed subsequently to potential sponsors.
for reimbursable support. A special benefit of the School's research program is the opportunity for all students to gain research experience by performing supervised thesis or group project study, including classified work, in basic or applied areas of interest to the Navy and other Defense and national security organizations.
SECTION II - STUDENTS

THE STUDENTS

The Naval Postgraduate School student body consists primarily of U.S. Naval Officers, but also includes other U.S. military officers, U.S. Government civilian employees, and international officers and civilians. Officers must have demonstrated both intellectual and leadership potential to warrant the government's investment in their higher education. They are mature, career-oriented individuals who realize that the graduate education programs provide the technical and managerial expertise needed in demanding billets to solve operational problems, and to employ modern weapons systems. Their goal is to qualify as a subspecialist and to complement their primary (warfare or staff) specialty.

In general, four or more years will have elapsed since the student's undergraduate education. These years will have been spent undergoing training and acquiring operational experience in a warfare specialty. In some cases, the return to an academic environment requires an extensive review to re-establish the student's academic proficiency. Further, officers may have developed new interests as a result of their career experience and may be pursuing advanced education in fields other than those of their undergraduate majors in order to meet Navy needs.

These unique characteristics of incoming students require that academic programs be adapted appropriately. Flexibility in academic course sequencing permits adjustments in the course selections offered individuals. Officers who validate sufficient courses may devote the time released to more advanced study, thesis or project work, or may complete the curriculum early. This academic tailoring is warranted due to the significant investment that the mature and experienced students represent. Each must be provided the opportunity for maximum personal development within a quality educational environment.

EDUCATIONAL POLICY

On 24 May 1986 the Chief of Naval Operations issued a policy statement on graduate education. Because of its importance, the policy statement is reproduced here in its entirety.

Graduate Education Policy

General: Because we face ever increasing complexities in technological, managerial, and political/economic fields which affect the Navy, we need officers with a solid intellectual capacity and the vision to capitalize on evolving technology and developments. This requires officers capable of original thought and the capacity to synthesize broad areas of knowledge to analyze complex issues, and appreciate the distinction between what is theoretically possible and actually achievable. Investment in graduate education must be pursued as a priority, even in the face of fiscal austerity and competing demands for our junior officers.


Subspecialty system: Subspecialty requirements are the primary means of defining Navy's needs for graduate education programs. Requirements will be validated every other year in a zero-based review that ensures: (1) requirements are not overstated, (2) each subspecialty has a pyramidal structure that fosters a healthy career progression, and (3) subspecialty billets are distributed throughout sea and shore activities to derive maximum benefit from the subspecialist inventory.

The number of unique subspecialty fields is to be held to a minimum, as is the number of supporting curricula. As a general rule, we will consider consolidating or eliminating other subspecialties to avoid proliferation and ensure efficiency of the system before a new subspecialty is added.

Officer participants: The fully funded graduate education programs are intended primarily for lieutenants and lieutenant commanders who have demonstrated superior professional performance and the intellectual capability to complete a rigorous academic program. These academic programs are designed to equip officers with enhanced intellectual and analytical capacity and make them more skillful warriors and specialists. Our goal is to increase the fraction of the officer corps with a graduate-level subspecialty.

Education: The intention of graduate education is to prepare an officer for a long career of contributions. Therefore, the tendency to train officers for their next assignment must be balanced by graduate education which furthers their ability to contribute. Program length will normally be two years or less to limit costs.

Officers selected for fully funded graduate education will usually be assigned to study at the Naval Postgraduate School (NPS). NPS programs will be maintained with a predominant emphasis on scientific and engineering subjects. NPS will also provide a program of continuing education so prospective students can improve their knowledge and graduates can maintain currency. For those curricula not offered at NPS, officers will be sent to quality civilian or DoD institutions approved by the appropriate program sponsor. This effort is also managed by NPS.

Other programs, either full time (such as the Advanced Education Program) or off duty, will be supported for officers who desire graduate education but are unavailable for fully funded education because of career patterns or personal desires.

Utilization: Officers with subspecialty codes will be assigned to a subspecialty billet as soon as practicable after their designation. URL officers will normally be assigned to an operational billet after graduation, but should be assigned subsequently to a subspecialty billet at their first shore tour following graduation. Officers should expect to serve multiple tours in their subspecialty fields during their careers.

Review: Several reviews are in place and will continue to ensure graduate education programs directly support the Navy's needs. These include a biennial review of each curriculum by the sponsor, a biennial flag level validation of all subspecialty billets, and an annual flag level review of Navy's graduate education chaired by the Vice Chief of Naval Operations. In addition, a Board of Advisors appointed by the Secre-
tary of the Navy will assess annually the effectiveness with which NPS is accomplishing its mission.
SECTION III - SCHOOL STRUCTURE

The Naval Postgraduate School is a shore activity in an active operational status under a President under the command of the Chief of Naval Operations. The Naval Postgraduate School is subject to the area coordination authority of the Combatant Commander, US Pacific Fleet.

ORGANIZATION AND ADMINISTRATION

The organization of the School combines the administration of the traditional academic functions of a university with the functions of a military activity. A brief description of the positions of the academic officials follows. A complete assignment of duties of all officials of the School is set forth in the NPS Instruction 5400.2.

The President. The President of NPS is a flag officer of the line (or a civilian with a PhD in an area represented in the NPS curricula) and is the Chief Executive of the Naval Postgraduate School. (The former title of this position was the “Superintendent”; this title may still be evident in some NPS documents.) The President is responsible to the Chief of Naval Operations for the fully-funded graduate education within the Navy conducted at both the Naval Postgraduate School and civilian universities. The determination of policy stems from the command authority of the NPS President, who is responsible for the accomplishment of the School’s mission.

The Provost/Academic Dean. The Provost/Academic Dean is the chief educational officer of the School and is responsible to the President for all academic matters. In the absence of the President, the Provost/Academic Dean acts in his/her behalf for those matters not related to the functions of the military chain of command. The Provost/Academic Dean’s responsibilities include formulating and implementing academic policies consonant with accreditation standards and the needs of the Navy; maintaining high performance standards of the faculty; reviewing and planning for all education areas and their professional application; and liaison in educational affairs with appropriate agencies, activities, and societies.

The Provost/Academic Dean is appointed by the Secretary of the Navy for a term not to exceed five years upon recommendation of the NPS President, after consultation with a faculty committee appointed by the President for that purpose. Reappointments are possible.

Dean of a Graduate School. There are four graduate Schools at NPS:

- The Graduate School of Engineering and Applied Science (GSEAS)
• The Graduate School of Business and Public Policy (GSBPP)
• The Graduate School of Operational and Information Sciences (GSOIS)
• The School of International Graduate Studies (SIGS)

Under the Provost, the Deans of the Graduate Schools (together with the Dean of Research, the Associate Provost for Academic Affairs, and the Dean of Students) administer the NPS academic programs by planning and overseeing the programs, the resources needed to support the programs, and the distribution of those resources. The Deans of the Graduate Schools are also responsible for insuring that policies and procedures are in place to carry out the academic programs efficiently. The Deans of the Graduate Schools:

• Work with the Department/Group Chairs (or the Associate Deans in the GSBPP) to plan, conduct, and administer educational programs.
• Supervise the Chairs of the Academic Departments and Groups.
• Recommend individuals to the Provost for appointment to the faculty, after receiving the recommendation of the Department/Group Chairs.
• Recommend individual faculty to the Provost for promotion, tenure, and merit pay raises where such a recommendation has been made by the Department/Group Chairs (or Dean of the GSBPP).
• Develop and administer programs for faculty orientation, development, and mentoring.
• Develop, in conjunction with the Chairs (or Dean of the GSBPP) and the Dean of Research, research plans and encourage the development of research programs.
• Prepare and submit budget, manpower, and facilities requirements in accordance with the Planning, Programming, and Budgeting System (PPBS) procedures.
• Manage all resources assigned, including budgets, manpower, and physical facilities.
• Coordinate the development of new curricula with the Director of Programs and the Associate Provost for Academic Affairs.
• Support Chairs or Dean of the GSBPP in developing and implementing personal development programs for staff members.

The Dean of a Graduate School is appointed by the President on the recommendation of the Provost for a specific term not to exceed three years. Reappointments are possible.

Dean of Students. The Dean of Students is responsible for the administrative structure supporting the students as military officers and as residents. This includes such things as orientation, student services, military matters, and residences in military housing. The Dean of Students is a military officer assigned by the Navy.
**Director of Programs.** The Director of Programs is responsible for the administration of the curricular operations of the School. The Director of Programs reports to the Provost/Academic Dean on academic matters and to the NPS President on military matters. His/her responsibilities include:

- The planning, development, and evaluation of curricular programs (including those conducted at civilian institutions) as specified by the Chief of Naval Operations, in coordination with the Deans.
- Exercising operational and supervisory authority over the Program Officers and students assigned thereto, including the establishment of common policies and procedures for the Curricular operation.
- Ensuring through periodic reviews that the stated objectives of each curriculum are current and that they reflect the educational skill requirements of the various sponsors.
- Ensuring continuing liaison with curriculum sponsors.
- Acting as Resource Manager for billets, personnel, and dollar assets assigned to the Programs Division.
- Maintaining Average-on-Board (AOB) statistics and current Prospective Rotation Dates (PRD) on students.
- Coordinating, as required, with the Chief of Naval Operations and the Commander, Bureau of Personnel (BuPERS), on student input procedures.

The Director of Programs is a military officer assigned by the Navy.

**Associate Provost for Academic Affairs.** Under the Provost, the Associate Provost for Academic Affairs establishes policies and procedures to promote high quality instruction to meet the needs of various curricula and administers the instructional support functions. The Associate Provost for Academic Affairs:

- Insures an effective evaluation of instruction is carried out and that timely follow-up is taken on identified needs.
- Develops and conducts a program for instructional improvement.
- Recommends individuals to the Provost for appointment as Academic Associates and coordinates with the Director of Programs in the supervision of the Program Officer/Academic Associate teams.
- Coordinates with the Director of Programs and the School Deans in the development of new curricula.
- Supervises academic support activities including the Registrar functions, the Admissions office, course scheduling, and the preparation and distribution of the School catalog.
- Together with the Office of Institutional Research supervises the preparation of academic statistical data for internal and appropriate external distribution.
- Is the Secretary of the Academic Council and advises the Academic Council on curricular matters and academic standards, as requested.
• Serves as a position manager and a resource manager for all codes under the Associate Provost for Academic Affairs.
• Prepares and submits budget, manpower, and facilities requirements for assigned areas of responsibility in accordance with the Planning, Programming, and Budgeting Systems (PPBS) procedures.

The Associate Provost for Academic Affairs is appointed by the President on the recommendation of the Provost for a specific term not to exceed three years. Reappointments are possible.

Associate Provost/Dean of Research. The Associate Provost/Dean of Research administers the NPS research program. In this capacity, the Associate Provost/Dean of Research is responsible for planning the research program, preparing budgets for the support of the program, maintaining contact with sponsors and potential sponsors to obtain this support, and proposing and administering policy and procedures to carry out the research program. Under the Provost, the Associate Provost/Dean of Research:

• Develops and implements policies governing research at NPS.
• Administers NPS research funds and oversees the proposal process, the expenditures of funds, and the reporting of results.
• Coordinates liaison with Department of Defense research and development facilities, the National Science Foundation, other government agencies which engage in research, and private contractors performing research.
• Supervises the Directors of the NPS Institutes.
• Supervises the Deputy Associate Provost for Research and the Director of Intelligence Research.
• Supervises Center Directors with a direct reporting relationship to the Dean of Research (e.g., the Center for Interdisciplinary Remotely Piloted Aircraft Studies, Center for Defense Technology and Education for the Military Services).
• Chairs the Research Board.
• Supervises the Director, Research and Sponsored Programs Office.
• Compiles and publishes an annual summary of the NPS research program; prepares other reports as required; and provides data, briefings, and other research-related support.
• Administers other research-related programs at the Naval Postgraduate School.
• Oversees coordination with the Comptroller's Office on budget displays and financial matters related to research funds at NPS.
• Identifies and develops additional research contacts and coordinates faculty research initiatives.
• Approves research proposals, encourages the development of research programs, and evaluates the results of research programs annually.
• Provides thesis processing for printing, posting, and distribution of theses.
• Prepares and submits budget, manpower, and facilities requirements for assigned areas of responsibility in accordance with the Planning, Programming, and Budgeting Systems (PPBS) procedures.

The Associate Provost/Dean of Research is appointed by the President on the recommendation of the Provost/Academic Dean for a specific term not to exceed three years. Reappointments are possible.

**Associate Deans.** Associate Deans are generally military officers chosen to assist the Provost and Deans in the performance of their duties. (In the Graduate School of Business and Public Policy (GSBPP), civilian faculty members are also chosen as Associate Deans.)

Associate Deans are appointed by the Provost for a specific term not to exceed three years, upon recommendations from the appropriate Dean. Reappointments are possible.

**Directors of Research Institutes.** Research Institutes exist at NPS for the purpose of studying high visibility problems of interest to the Department of Defense, other government agencies, and the services. The Institutes act as an administrative center, drawing upon the expertise of student-faculty teams to accomplish the research goals. There are currently three research institutes at NPS:

- The Wayne E. Myer Institute for Systems Engineering
- The Cebrowski Institute for Information Innovation and Superiority
- The MOVES (Modeling of Virtual Environments and Simulation) Institute.

Under the Associate Provost/Dean of Research, the Institute Directors administer the research programs of the Institute by planning and administering the programs, the resources needed to support the programs, and the distribution of those resources. The Institute Directors are also responsible for insuring that policies and procedures are in place to carry out the research programs efficiently. The Institute Directors:

- Plan, conduct, and administer the Institutes' research programs.
- Coordinate all research done by NPS faculty and students done for the Institute.
- Supervise the personnel assigned to the Institute.
- Recommend individuals for appointment to the Provost (via the Associate Provost/Dean of Research),
- Recommend to the Provost (via the Associate Provost/Dean of Research) individual Institute members for promotions and merit pay raises and augment the Faculty Promotion Council when their Institute's promotion cases are presented and discussed.
- Develop and administer programs for Institute employee orientation, development, and mentoring.
• Prepare and submit budget, manpower, and facilities requirements in accordance with the Planning, Programming, and Budgeting System (PPBS) procedures via the Associate Provost/Dean of Research.

• Manage all resources assigned to the Institute, including budgets, manpower, and physical facilities.

The Director of an Institute is appointed by the NPS President upon the recommendation of the Provost and Associate Provost/Dean of Research for a specific term, not to exceed three years. Reappointments are possible.

Chair of Academic Departments and Interdisciplinary Groups. The Chair of an Academic Department or Group plans and administers the educational, personnel, and financial activities of his/her respective Department/Group. (In the GSBPP, the Chair’s duties are done by the Dean or are delegated to Associate Deans.) The responsibilities of the Chair include:

• Organizing and supervising their Departments/Groups to carry out the educational policies of the School and to accomplish the objectives of the various curricula.

• Planning and supervising research programs in their Departments/Groups to support the mission of the School, and coordinating these with the appropriate Dean.

• Planning the academic program (in coordination with the appropriate dean) for their Departments/Groups.

• Representing their Departments/Groups in academic and administrative matters, including the annual Promotion and Tenure (P&T) activities.

• Recruiting qualified academic personnel for their Departments/Groups, within authorized allowances, and recommending their appointment to the appropriate Dean and the Provost.

• Recommending faculty for promotion, tenure, and merit pay raises to the Provost via the appropriate Dean in accordance with established procedures.

• Providing professional evaluation of academic personnel and performance ratings of Civil Service personnel assigned to their Departments/Groups. (In this sense, they are “supervisors” as the term is used in Civil Service matters.)

• Guiding course development and the preparation and maintenance of a journal for each Department/Group course that is taught, as well as coordinating and submitting textbook requirements for their Departments/Groups.

• Evaluating instruction of their Department/Group courses to insure that they are presented effectively and in accordance with the approved syllabi, coordinating Department/Group grading practices, and ensuring that grades for each student are submitted to the Registrar within prescribed time limits.
• Maintaining familiarity with related activities at civilian educational institutions and technical and industrial organizations, so that curricula and courses are kept abreast of educational and technical advances.

• Submitting budget estimates for their Departments/Groups to the appropriate Dean or the Provost/Academic Dean; developing plans to procure equipment for their Departments/Groups, including laboratories; and administering the maintenance and custody thereof.

• Controlling the safe operation, development, and security of the spaces of their Departments/Groups and of all machinery, equipment, and materials therein.

• Developing and implementing personnel development programs for personnel in their Departments/Groups. Establishing and overseeing a mentoring program for faculty. Establishing and monitoring a program to ensure that their faculty remain current on Navy technology and procedures.

• Designating and supervising Associate Chairs to assist with Department/Group administrative duties.

• Working with the Program Officers in maintaining liaison with sponsors, developing new programs, and in the sponsor evaluation and modification of programs.

The Chairs of Academic Departments and Groups are appointed by the President upon the recommendation of the Dean of the appropriate Graduate School and the Provost for specific terms not to exceed three years. Reappointments are possible. The Chairs are under the operational and supervisory authority of the Dean of the appropriate School.

The Faculty. The Faculty are members of the staff, military and civilian, engaged in teaching, the supervision of laboratory periods, research, supervision of theses, and other academic duties. They are assigned to specific academic Departments/Groups or Institutes and their responsibilities, under the cognizant Department/Group Chair (or Dean of the GSBPP) or Institute Director, include:

• Teaching effectively the courses assigned to them in accordance with the approved syllabus for the course.

• Maintaining a course journal in the Department/Group files for each course taught.

• Directing and supervising student research activities, including theses and group projects.

• Performing research in support of educational objectives

• Performing assigned administrative tasks.

• Recommending beneficial changes to curricula and courses and to laboratory development.

• Submitting grades to the Registrar at the end of each quarter, as specified by procedures promulgated by the Dean of Instruction.

• Keeping their Department Chair (or Dean of the GSBPP) informed of their professional activities.
• Maintaining professional proficiency by a program of personal scholarly activity, by participation in professional societies and meetings, and by outside contacts.

• Keeping themselves cognizant of the special needs of the Navy in advanced education and in the areas of their professional specialties.

• Training staff assigned to them so that the staff can most effectively aid the School's education program.

• Attending official functions, as required.

Some faculty members hold dual appointments. In such cases, one of the Department/Group Chairs (or Dean of the GSBPP) is assigned the primary responsibility for supervisory tasks such as mentoring and making recommendations for pay raises and promotion. The Department/Group/GBPP is called the "home" Department/Group of the faculty member.

Support Faculty Support faculty are non-tenure track faculty who provide a professional-level service function that supports the teaching and research mission of NPS and the administrative duties central to these functions. Support faculty can perform a wide range of activities such as distance learning instruction, research, public service, academic support duties in such areas as student services, student recordkeeping, library functions, and administrative oversight of the business and academic operations of NPS.

Support Faculty positions generally require a Master's degree in an appropriate field, relevant experience, and personal skills specific to the particular appointment. Support faculty appointments are made by the Provost after a written application from the appropriate Dean, Institute Director, or Associate Provost, containing a position description (including the proposed position title); a description of the duties of the position; a clear description of why the duties cannot be done by a Federal civilian staff member, a contractor, or a term employee. Terms for Support Faculty shall not exceed three years, with reappointment possible with satisfactory performance. (Formal evaluation must be done before requesting a reappointment.) Only the Provost can approve the establishment or filling of a Support Faculty position. Positions must be approved in writing by the Provost before recruiting can begin.

There are two types of support faculty:

• Academic Support Faculty. Academic support faculty provide professional support in the instructional or research activities of NPS.

• Administrative Support Faculty. The administrative support faculty provide professional support to students and faculty, and perform administrative duties that relate directly to management policies and procedures, or the general business and administrative operations of NPS. Administrative Support Faculty report directly to a Dean, an Institute Director, Associate Provost or the Provost. They are not members of a specific Department/Group.

Program Officers/Academic Associates. The Program Officer/Academic Associate team is an organizational entity unique to the Postgraduate School. The team is responsible for developing, maintaining, and up-
dating curricula to accommodate the needs and academic requirements of the Navy and the Department of Defense and for monitoring the planning and progress of individual students through a program of study.

A military officer of suitable experience and rank is assigned as the Program Officer, serving as the executive director of the office. One or more assistant program officers may also be assigned to a Program Office and responsibility for a curriculum may be delegated to an assistant.

The part-time duty as the Academic Associate is assigned to a civilian member of the faculty thoroughly familiar with the Naval Postgraduate School, the Navy, DoD, and other sponsoring agencies. Where the Program Office supports multiple curricula, more than one Academic Associate may be appointed and assigned responsibility for specific curricula. (On occasion, the Academic Associate may be a military officer.)

The Program Officers are responsible to the Director of Programs for the overall operation of their respective Program Offices. The Academic Associates are responsible to the Associate Provost for Academic Affairs, through their Department or Group Chair, for the integrity of the academic features of the Program Office operation. As a consequence of this parallel arrangement, the Program Officers and Academic Associates are close professional associates and their relationship should develop accordingly.

Academic Associates are appointed to this duty by the Provost, on the recommendation of the Associate Provost for Academic Affairs and the Director of Programs, for specific terms not in excess of three years. (Re-appointments are possible.) The budgeted time allotted to perform the duties of Academic Associate are determined by the Associate Provost for Academic Affairs.

General responsibilities associated with the Program Offices are described below. Specific responsibilities of the individuals are covered in either Naval Postgraduate School Instructions or policy directives. Their general responsibilities are:

- Curriculum Sponsor Liaison. The Program Officer/Academic Associate team works with program sponsors and consultants to define pertinent sponsor needs, including professional objectives; to delineate projected utilization of program graduates; and to consult with Department/Group Chairs (or Dean of the GSBPP) and faculty to propose useful courses and curricula. These plans and projections consider the impact of developing technology, evolving bodies of knowledge, and changing mission of the Navy and other sponsors. They are prepared, reviewed, and updated during sponsor reviews of curricula.

- Curriculum Development and Management.
  - The Program Officer/Academic Associate team, working with the NPS faculty and staff, develops and maintains a statement of professional objectives for each curricular program under their purview. Consistent with these objectives, they establish and keep current appropriate standard curricula.
  - Ensuring that the curriculum meets the professional needs of the Navy or other sponsors rests primarily with the Program Officer. Ensuring that each student's curriculum meets curriculum degree requirements and that the selection and sequence of courses are in accordance with Department/Group or degree requirements rests primarily with the Academic Associate.
  - The Program Officer/Academic Associate team develops and maintains procedures for effectively monitoring programs for their continuing adherence to professional and
academic requirements. These procedures may be partially standardized for all programs. The Program Officer holds primary responsibility for collaborating with the Naval Postgraduate School staff, sponsors, and OPNAV and for adopting general procedures to meet the particular needs of individual programs. The Academic Associate is responsible for maintaining liaison with academic Departments/Groups, sustaining the relevance of current course content, and fostering faculty participation in the development of useful new courses and programs.

- In the development of new curricula or major revision of existing ones, the Program Officer/Academic Associate team includes each concerned academic Department or Group in the deliberations leading to formulating each proposal.
- Both the Program Officer and Academic Associate are knowledgeable with respect to "transfer field" programs, i.e., other graduate programs appropriately related to those under their purview. They should also be familiar with Navy-related programs offered at civilian educational institutions which might be effectively utilized by sponsors.

- Supervision and Counseling of Students. The Program Officer/Academic Team reviews the records of all students assigned to their curricula and, in consultation with each student — and based on his/her academic background — develops a program of study within the framework of the established curricula. Student academic progress is monitored and program changes or intercurricular transfers made, when deemed necessary, within the limitations of curricular quotas, Navy policies, and academic feasibility. Both members of this team are responsible for the overall quality of a student's program.

Both members of the team counsel all students in the curricula under their purview. The Academic Associate is responsible for academic counseling of the students.

The Program Officer, in accordance with prescribed policies and procedures, exercises supervision and direction of students assigned to his/her office. He/she performs requisite administrative duties pertaining to these students, evaluates their performance, and counsels them on pertinent military matters, as necessary.

- Resource Management. The Program Officer is responsible for managing the resources which directly support his/her office and for the preparation and submission of budget requirements.

Executive Director for Information Resources and Chief Information Officer. The Executive Director for Information Resources and CIO plans and manages the computing and information services at the School and is responsible for the coordination of strategic information resources at NPS including Information Technology and Communication Services (ITACS) and Institutional Research.

The Executive Director is appointed by the President on the recommendation of the Provost for a specific term not to exceed three years. Reappointments are possible. The Executive Director and CIO reports to the NPS President and is a member of the Superintendent's Executive Council.
Information Technology and Communication Services (ITACS). The Executive Director is responsible for the development and implementation of the IT Strategic Plan and for advising NPS leadership on all matters relating to IT policy, direction, and operations, including

- IT services (academic and administrative),
- network operations and services,
- administrative systems,
- vendor relations, including procurement of IT equipment and services, as well as IT policies (e.g., wireless technology)
- communications about ITCS within NPS and external communications,
- voice and video services,
- IT security,
- IT budgeting and planning, and
- Software acquisition, licensure and support

The Executive Director and CIO oversees a number of consortium memberships that involve inter-institutional collaboration on IT priorities and interests, and serves as the NPS liaison to those organizations. For example:

- Navy/Marine Corps Internet (NMCI)
- Internet2
- Local Department of Defense consortium
- Monterey Peninsula I-Net participation (high-speed, local access network)
- CENIC participation (high-speed, statewide backbone)
- DREN (Defense Research and Engineering Network)

The Executive Director is also responsible for ensuring NPS compliance with Navy, Department of Defense, and General Services Administration policies regarding IT.

Institutional Research. The Executive Director and CIO oversees the Office of Institutional Research, the single point of contact for all internal and external requests for official information about the institution. As such, the Executive Director is responsible for collecting, organizing, and verifying institutional data, and reporting those data to the university community and to external audiences. The Executive Director is also responsible for developing a program of research about the institution, including student surveys, assessment projects, strategic planning, and special studies, as needed.

The Executive Director serves as an institutional liaison on accreditation matters, and assists with academic program evaluation and new program applications. The Executive Director also assists in supporting strategic planning in a variety of ways that includes preparation of common data templates for discussion and decision regarding goal-setting and performance evaluation.
The Executive Director and CIO is appointed by the NPS President to a term not exceeding three years upon the recommendation of the Provost. Renewals are possible.

Executive Director for Facilities and Support Services. The Executive Director for Facilities and Support Services (F&SS) is responsible for the coordination of all installation management and support services at NPS to include

- facilities management, campus planning, and environmental management,
- retail services (NEX) and banking services (NFCU),
- e-business,
- police services and fire protection and prevention,
- housing management,
- morale, welfare and recreation support, including golf course, food and beverage, sailing club, etc.,
- safety management,
- contracting services,
- personal property and transportation services,
- mail services,
- BQ operation,
- logistics and warehousing operations
- legal services
- chaplaincy, and
- human resources.

Most of these support services are administered from the Commander, Navy Region Southwest. The Executive Director interfaces with this organization on these areas of operation.

The Executive Director is also the liaison for NPS and acts on behalf of the NPS President with the City of Monterey, Monterey County, the State of California, and other outside agencies.

The Executive Director also serves as the Chair of the Facilities Subcommittee that acts as an information and advisory body for the SSPG in all areas of installation management.

The Executive Director for F&SS is appointed by the NPS President to a term not exceeding three years upon the recommendation of the Provost. Renewals are possible. The Executive Director of F&SS reports jointly to the NPS President and the Provost in the performance of duties.
APPOINTMENTS AND REAPPOINTMENTS
OF PROVOST, DEANS, AND CHAIRS

Appointment and Reappointment of the Provost. If possible, the process leading to the appointment or reappointment of a Provost should begin approximately eighteen months prior to the end of the incumbent's term to allow for the lengthy search, screening, review, and approval phases that may be required.

If a new Provost is to be appointed, the President should appoint a committee to assist in the search and screening processes. The Faculty Council should be asked to provide a list of nominees to be included on this committee. The committee should establish a mechanism to provide an opportunity for the faculty to evaluate and comment on those candidates who are to be considered seriously for the appointment.

If the reappointment of the incumbent Provost is to be considered, the President should establish a mechanism to obtain a broad sampling of faculty input to the decision.

Appointment and Reappointment of Deans. The process of selecting a new Dean or of reappointing an incumbent shall begin as early as possible, preferably one year prior to the expiration of the incumbent's term. A faculty committee shall be constituted to facilitate input to the decision process, to communicate that input in writing and in oral discussions to the President and the Provost, and to provide such other assistance as the President and the Provost may request. This committee shall consist of at least five faculty members, of whom at most one is a Department/Group Chair, appointed by the Provost in consultation with the Executive Board of the Faculty Council. Any faculty member shall be free to discuss candidates with any member of the committee.

If a new Dean is to be selected, the committee shall assist in the search for and in the evaluation of candidates. Input from the faculty shall be solicited and reported to the President and the Provost. If the reappointment of the incumbent Dean is to be considered, the committee shall solicit and report input from the faculty.

This process shall be used in connection with the appointment of anyone other than the Academic Dean, whether full-time or part-time, who has the title of Dean and who exercises responsibility and authority for such academic matters as instruction, research, and faculty personnel decisions. It need not be used in appointments of administrative leaders who have no such decision-making authority. (The Director of Programs and Dean of Students, as military officers, are selected by the NPS President through a separate nomination process conducted by the Navy Bureau of Personnel.)

Appointment and Reappointment of Chairs. Whenever possible, appointment and reappointment decisions should be made on the recommendation of a consensus of the tenured and tenure-track members of the Department or Group. The process should begin, not later than one year prior to the termination of the current appointment, with a meeting between the current Chair and the appropriate Dean to assess the Chair's and the Administration's desires on reappointment. The Department/Group faculty should be advised beforehand of this meeting and invited to submit comments to the Dean of the appropriate graduate school. During this meeting, it would be appropriate for the Dean to review the goals of the Department or Group with the Chair, to assess the performance of the Chair in achieving those goals, and to establish a dialogue on emerging directions for the Department/Group.
If the current Chair desires reappointment, the Dean should then gather information from all of the Department/Group faculty. The Department/Group faculty will determine the most appropriate procedure to insure frank and candid input. For example, some faculty may prefer to supply their comments to fellow faculty members, while others may prefer to interact directly with the Dean. The Dean may wish to appoint a committee to collect and summarize faculty comments. The Chair should have ample opportunity to discuss the general findings of his/her evaluation by the faculty with the Dean prior to a final reappointment decision by the Administration.

If a new Chair is to be appointed, the search should begin sufficiently early to provide ample time to review candidates. At the beginning of the process, appropriate administrative officials should meet with the Department/Group faculty to discuss desired qualifications in the candidates and elements of the search and appointment process. The search process should be clearly understood by all. The primary responsibility for the search process should reside with the tenured and tenure-track faculty of the Department/Group. They should have an opportunity to hold individual or group discussions with the candidates, to review the candidates’ resumes and submit evaluations, and to discuss the candidates as a group to establish a Department/Group consensus if possible. Recommendations by a Department/Group for a Chair appointment should include a statement about the faculty's consensus, if one exists. If a Department/Group Search Committee is appointed to facilitate the search process, its recommendations should follow those stated by the Department/Group as a whole. Recommendations by a Department/Group for a Chair appointment which are not acceptable to the administration should be discussed with both parties present before an alternative appointment is made.

NAVAL POSTGRADUATE SCHOOL
BOARDS AND COUNCILS

A description of some of the boards and councils of the Naval Postgraduate School that affect the Faculty follows (in alphabetical order):

**Academic Council.** The quality and rigor of any academic program is set forth by the faculty of the institution. The functions of the Academic Council include establishing scholastic standards (as detailed in the *Policy Manual of the Academic Council*), considering all new curricula and major revisions to existing curricula, considering for approval all new courses and significant changes in course descriptions or unit value, and evaluating all candidates submitted for award of degrees. New degree programs must be submitted for approval by the Council well *in advance* of the enrollment of students in the program. Certificate programs must be approved by the Council in order to appear on the transcript. New courses will not be scheduled unless approved in advance by the Council. Courses with significant change in description or units will not be scheduled unless approved in advance by the Council. No curriculum shall be given degree credit nor any degree candidate awarded a degree unless recommended by the Council.

The Academic Council is composed of the Provost (as Chair), the Dean of Students, the Director of Programs, the Chair of the Faculty Scholarship Committee, a representative from each of the academic Departments and Groups, and the Associate Provost for Academic Affairs (as Executive Secretary). The representative from each academic Department/Group will be a member (not the Chair) of the Department/Group, elected by the Department/Group members, subject to approval by the Chair of the Department/Group. The Department/Group also elects an alternate representative, subject to the approval of the Chair. Both representatives and alternates serve concurrent three-year terms. An elected representative is *not* eligible to serve two successive terms. Terms of the Council members are staggered so that approximately one-third of the elected
The requirements for the various degrees offered and all written academic policies are described in the *Policy Manual of the Academic Council*.

**Board of Advisors** The NPS Board of Advisors is a panel of eminent civilians and distinguished retired military officers who advise the Secretary of the Navy and the Chief of Naval Operations on the strategy and operations of NPS. The Board members are appointed by the Secretary of the Navy and the Board meets twice annually.

**Deans Promotion Council (DPC).** This body evaluates and recommends candidates for promotion and award of tenure. It consists of the Provost as Chair, the Deans of the Graduate Schools, the Dean of Research, the Associate Provost for Academic Affairs, the Dean of Students, and the Faculty Chair (as an observer).

**Department/Group Evaluation Committee (DEC).** This faculty committee (appointed by the Department/Group Chair, Dean of the GSBPP, or Institute Director) makes an objective evaluation of the credentials of a given candidate for promotion and/or tenure to the respective Department, Group, GSBPP, or Institute faculty and Chair (or GSBPP Dean). The DEC must be composed of at least three faculty, one of whom must be a representative from a Department, Group, GSBPP, or Institute not containing the candidate (i.e., an "outside" member), and all of whom must be of rank higher than that of a candidate for promotion (or all of whom must be tenured for a candidate for tenure). In the case of candidates with joint appointments, it may be appropriate to have a jointly constituted DEC, or, alternatively, independent DECs may be formed to represent the separate viewpoints.

**Department/Group Faculty Promotion Council (DFPC).** This Council participates in the promotion and tenure cases at the Department/Group level. It consists of all members of the faculty of the respective Department or Group considering a candidate for promotion or tenure who have rank higher than that of a candidate for promotion (or who are tenured in the case of a candidate for tenure). The DFPC will have access to the full confidential dossier on the candidate as considered by the DEC, including all external appraisal letters. The DFPC meets as a body to discuss the case and makes a vote on the case. (The Chair does not vote at this point, but records and reports the results of this vote to the Faculty Promotion Council.)

**Faculty Council and Committees.** The Faculty Council and its Committees function in an advisory capacity to the Provost, the Dean of Students, Director of Programs, and the Deans in administrative or academic matters involving policy, regulations, procedures, or other concerns deemed worthy of attention by the Faculty Council or the cognizant committee. The composition of the Faculty Council and Committees is prescribed by the *Faculty By-Laws*. Matters meriting attention are normally submitted to these officials by the cognizant representative.

**Faculty Executive Board.** This board (consisting of the Faculty Chair, the Faculty Chair-elect, the past Faculty Chair, the Faculty Secretary, and four elected members from the Faculty Council) establishes the agenda for Faculty Council meetings, is cognizant of the activities of all Faculty committees, deals with matters relating to the professional status of the Faculty as a group, and meets regularly with the Provost and other members of the administration. The Faculty Executive Board may, on occasion, approach the President and/or the Provost directly.

**Faculty Promotion Council (FPC)** Before a faculty member is recommended for promotion or tenure, this council performs a review of the candidate's professional qualifications. This council consists of the members
of the Deans Promotion Council augmented by the Chairs of the Departments and Groups, the Director of DRMI, the Faculty Chair, and the Chair of the Faculty Professional Practices Committee (as an observer). If a promotion is desired for a member of an Institute, the Institute Director will augment this Council for discussions of the case and may vote on the case.

**IT Task Force** The Information Technology Task Force is an advisory body for all information technology and communications policies and plans. The task force is chaired by the Executive Director of Information Resources and CIO, and is comprised of faculty representing each of the major academic areas, as well as student council, and administrative areas.

**Professional Practices Committee** The Professional Practices Committee is a standing committee of the faculty. It exists to ameliorate professional disputes between individual faculty (or groups of faculty) and the administration or disputes between faculty. In unusual circumstances, it also may represent faculty members in promotion and tenure procedures. It consists of three tenured faculty members, elected for staggered three-year terms at the annual Faculty election in November.

**Research Board.** The Research Board serves as an advisory arm to the Associate Provost/Dean of Research. Board members represent their respective academic departments/groups/school. The Board reviews research policies and procedures and provides recommendations and guidance regarding the School's overall research programs to the Associate Provost/Dean of Research. The Research Board consists of the Dean of Research (who serves as Chair); the Associate Dean of Research; Director, Research and Sponsored Programs Office; two Faculty Council Representatives; and faculty representatives from each academic unit (i.e., the Departments, Groups, and Institutes). Board members are appointed by the Provost, normally for three-year terms.
SECTION IV – FACULTY POLICIES

The Faculty of the Naval Postgraduate School operate under a personnel management policy established by the Secretary of the Navy, Policy Regarding Appointment, Promotion, Salary and Tenure of Office of the Civilian Members of the Faculty. Those matters covered by the policy will not be duplicated in this section. Amplification of subjects will occur as necessary.

The current faculty salary schedule is found at the NPS Human Resources site.

FACULTY APPOINTMENTS

Faculty appointments for untenured faculty are made for a specified term. (Tenured faculty members serve without term limits.) The “total length of service” is the cumulative length of terms spent in a particular rank at NPS plus any accepted periods before coming to NPS. Each Faculty member receives an appointment letter from the Provost’s Office specifying the position title and the expiration date of the term of the appointment.

No NPS employee may claim to be a faculty member who has not received an appointment letter. Also, it is important that faculty represent themselves with the proper title to students, colleagues, and people outside NPS.

EQUAL EMPLOYMENT OPPORTUNITY/AFFIRMATIVE EMPLOYMENT

It is the policy of the Naval Postgraduate School that all persons are afforded equal employment opportunity for employment, advancement, retention, benefits, and treatment regardless of race, color, sex, religion, national origin, age, or handicapping condition. EEO is promoted through a continuing Affirmative Employment Program in all situations where minorities, women, and handicapped individuals are under-represented or underutilized. As a model employer, the Naval Postgraduate School ensures a work environment free of discrimination and harassment of any kind. Treatment of all individuals with dignity and respect regardless of their rank or grade is essential at the Naval Postgraduate School. It is a work environment free from sexual harassment, fraternization, and discrimination in both policy and practice, equal opportunity for advancement to an individual’s maximum potential, and fair and impartial review of complaints of discrimination.

Faculty and Chairs are the key to an effective program. Faculty members must be cautious regarding social relationships with students. Personal relations between NPS faculty and students that are unduly familiar may not respect the differences in status and may call into question the objectivity of the faculty member. Active participation in meeting established EEO goals and objectives will ensure Equal Employment Opportunity at NPS to ultimately achieve a balanced workforce.

EEO responsibility is one of the factors considered in annual performance ratings for administrators and in consideration for awards. Criteria for advancement within management and supervisory positions include demonstrated performance in meeting EEO objectives. NPSINST 12713.4 provides additional guidance.
The NPS President is the Equal Employment Officer of the School. Further information about the program is available from the Human Resources Office/Command Equal Employment Opportunity Office.

CIVIL SERVICE STATUS OF CIVILIAN FACULTY

A brief statement of the Civil Service status of the faculty is given in Policy Regarding Appointment, Promotion, Salary and Tenure of Office of the Civilian Members of the Faculty. The phrase “Excepted Employee” or “Excepted Civil Service” is sometimes used when referring to the Civil-Service status of faculty members. This phrase means that, under authorities granted by the Office of Personnel Management, appointments may be made in the interest of good Civil Service administration whenever the duties or compensation of the position are such, or qualified persons are so rare, that the position cannot be filled through open competitive examination.

The Code of Federal Regulations, 5 CFR 213, provides the rules and regulations establishing the Excepted Service. Section 5 CFR 213.3108 (b) specifically assigns the Faculty of the Naval Postgraduate School to Schedule A of the Excepted Service. Schedule A is defined as positions other than those of a confidential or policy-determining character for which it is impracticable to examine. NPS Faculty appointments are designated as AD (“administratively determined”). Civil Service provisions which pertain to such matters as veteran preference, performance ratings, annual and sick leave, health benefits, retirement and insurance benefits apply to permanent civilian members of the faculty.

In summary, the civilian members of the faculty are employed as civilian employees of the Department of the Navy in the “Excepted Service” and they are subject to the Civil Service laws, regulations, and directives applicable to all Navy Civilian Personnel, unless specifically exempted.

TENURE-TRACK FACULTY

Tenure-track faculty are those faculty appointed as Assistant Professor, Associate Professor, or Professor. Faculty appointments for tenure-track faculty are normally for a ten-month academic year. The two-month intersession period can be used for a variety of activities including reimbursable activities such as research or presenting short courses, classroom instruction when requested by the Department/Group Chair/GBSPP Dean, NPS administrative activities, or leave without pay.

Initial appointments of tenure-track faculty will be in an Academic rank and step determined by the President upon recommendation by the Provost and appropriate Dean. The offer letter for each new faculty member provides this information. The initial appointment for Assistant Professors and Associate Professors is usually for a period of three years. (The initial year is a probationary period for all Federal employees.) At the end of the second year of the initial period, and annually thereafter until a tenure decision is made, an assessment of the faculty member's work is performed by colleagues of the ranks higher than the rank of the individual reviewed, a verbal review is given to the faculty member by the Chair (or Dean of GSBPP), and a statement and explanation of the Chair's (or GSBPP Dean's) decision on whether or not to renew the individual's appoint-
ment is provided to the Dean and Provost. In the event that a Chair recommends notification of intent not to reappoint for a tenure-track faculty member, written notice of the intention is given to the faculty member and a final one-year appointment is made. (Occasionally the initial appointment of a tenure-track faculty member may be at the Instructor level, pending receipt of the PhD degree or equivalent.)

New faculty appointed at the rank of Professor may be considered for tenure at the time of initial appointment or at a subsequent period as mutually agreed by the candidate, the Department/Group Chair, the appropriate Dean, and the Provost. If tenure at appointment is desired, the recruiting committee of the Department compiles documentation demonstrating the candidate's productivity and letters of reference. The Department Promotion Council considers the case and votes on its approval. The Chair reports the results of the vote in his/her recommendation to the Dean and the Provost. (In the GSBPP, the Dean makes a recommendation to the Provost.) The Chair or GSBPP Dean (or his/her designee) presents the case for award of tenure to the Faculty Promotion Council. Following successful consideration of the case, the offer letter may indicate that the candidate will be awarded tenure after completion of the mandatory one-year government probationary period, pending certification of continued productivity at NPS during that initial period by the Department/Group Chair (or GSBPP Dean).

### PROMOTIONS AND AWARD OF TENURE

Note: For the Promotion and Tenure of Faculty (both tenure-track and non-tenure-track faculty) in the Graduate School of Business and Public Policy (GSBPP), the Dean assumes the same role as the Department/Group Chairs in the other Graduate Schools. In promotions of nontenure-track faculty in the Institutes, the Institute Director has the responsibilities of the Chair and augments the Faculty Promotion Council (Deans and Chairs) for the presentation and discussion of the case.

#### A. Regular Procedures

**Prior Teaching Service:** Normally award of tenure is considered after six years of postdoctoral teaching experience. Up to three years of prior postdoctoral teaching experience may be transferred to NPS. Newly hired Faculty need to consult with their Chair upon arrival at NPS to request a transfer of prior service. All new faculty members need to send a memo to the Provost (via the Department/Group Chair and the School Dean) making a request for prior credit (if any) and identifying the latest date for consideration of their tenure at NPS. This memo must be sent within three months of arrival at NPS.

**Tenure Considerations** normally occur after six years of teaching experience. It is the practice at NPS to "start the tenure clock" on the first July 1 on or after the faculty member's NPS starting date. Notification of the tenure decision is not later than July 1 six years from this date. The tenure decision and notification will be earlier if prior teaching credit is requested and approved (as described in the prior paragraph) or an earlier date is agreed upon by the faculty member, the appropriate Chair (or GSBPP Dean), the appropriate Dean, and the Provost.

On rare occasions, a faculty member may be considered for tenure earlier than the sixth year of accepted prior service plus tenure-track service at NPS ("early tenure"). Such consideration for early tenure may be brought forward to the Faculty Promotion Council only with the specific prior written approval of the Provost.
An individual may be considered for tenure by the Faculty Promotion Council only once. A negative conclusion of a tenure case will result in notification of non-reappointment without any possibility of a repeat review process. (This also applies to "early tenure" cases.)

The Provost publishes two documents for the upcoming promotion cycle, Promotion Guidelines and Promotion Procedures. These documents guide the Promotion and Tenure process for the year.

The Chair of the Department/Groups or Institute Director indicate the names of candidates being considered in the review.

Next, there is a review of professional qualifications by a Department Evaluation Committee (DEC), appointed by the Chair for this purpose. The DEC consists of at least three faculty members who are senior to the candidate's current position; one member must be from outside the candidate's Department/Group. The DEC submits its report to the Department Faculty Promotion Council (DFPC). The specific procedure for this colleague-review is at the discretion of the individual Department/Group, within policy guidelines provided annually by the Provost to ensure equitable treatment of all faculty.

The Department Faculty Promotion Council (DFPC) convenes to consider the case of each candidate within their purview and makes a recommendation on each case by secret ballot. The Chair of the Department/Group (or GSBPP Dean) does not vote in this secret ballot; he/she votes later in the process as a member of the Faculty Promotion Council. The results of the secret ballot are advisory to the Chair/GBSPP Dean and must be included (along with any comments from the DFPC discussion) in the Chair's (or GSBPP Dean's) recommendation for each individual case.

The Department/Group Chair makes a recommendation to the Provost via the Division Dean. (The Dean of the GSBPP makes a recommendation to the Provost.) This recommendation is supported by appropriate documentation specified by the Provost and must include the written report of the candidate's DEC and all reference letters received.

Annually during the winter quarter, there is a series of meetings of the Faculty Promotion Council (FPC) to consider all recommendations. The participants in the meetings shall have reviewed electronic copies of the Department/Group DEC and Chair's recommendations, as well as access to the documentation for all candidates. At these meetings, a representative of the individual's DEC or the Department/Group Chair/GBSPP Dean answers questions about the candidate's qualifications. After full discussion, the participants in the meetings (with the exception of the Chair of the Professional Practices Committee) individually make their recommendations regarding all candidates to the Provost.

The Provost considers the recommendations and then meets with the Deans Promotion Council (DPC) for further considerations. (The NPS President is invited to attend these DPC meetings.)

Finally, the recommendations of the Provost are presented to the President in the presence of the Deans Promotion Council (DPC).

There may be cases in which faculty members are denied promotion or tenure after having been positively recommended by the faculty of the Department/Group/School, by the Chair (or Dean of the GSBPP), and/or by the Faculty Promotion Council. In that case, the Provost and the appropriate Dean will meet with the Faculty Promotion Council of that Department or Group to discuss the reasons for denial. If they feel that the decision process was flawed, the candidate, colleagues, and/or Chair (Dean of the GSBPP) may request the assistance of the Professional Practices Committee in appealing the adverse decision. The Professional Prac-
The Professional Practices Committee shall determine whether such an appeal is justified and, if so, shall make recommendations to the Provost as to how resolution could be pursued.

B. Alternative Tenure Procedure

There may be cases in which faculty members have not been recommended or have been recommended negatively by their DEC or their Department/Group for promotion and/or tenure. In most cases, the case is withdrawn from further consideration.

In some cases, the Chair (or Dean of the GSBPP) may forward the case with a description of the recommendation according to the regular procedure or the individual faculty member (or colleagues, with the member's consent) may request that the Faculty Professional Practices Committee consider the member's qualifications and determine whether to recommend promotion or tenure. If the Committee decides to recommend a candidate in such a case, it pursues the following procedures.

The Professional Practices Committee prepares a recommendation and supporting documentation similar to those developed by the Department Chair/GSBPP Dean in the regular procedures.

At the meetings where other candidates are considered, the Chair of the Professional Practices Committee presents the candidate for consideration and discussion. Thereafter, the alternate procedures are the same as the regular procedures.

C. Alternative Promotion Procedure. Associate Professors who have served more than 10 years in that rank at NPS and who have not been formally considered for promotion by their academic unit (Department/Group or GSBPP), or who have been turned down for promotion by their academic unit, may apply for a special promotion review for advancement to Professor. The special promotion review will follow these guidelines: a DEC will be formed to perform the usual DEC functions of data gathering, review and recommendation; the Department Faculty Promotion Council will meet to discuss the case and to vote; the Chair/Dean of GSBPP will make a recommendation; the case will come to the Faculty Promotion Council and the Deans' Council, and to the Provost and then the President for final decision. Note that under the special promotion review process, a special promotion case must go forward to the President for decision.

If the promotion is not granted, the faculty member must wait a minimum of five years to reapply for promotion to Professor via the special process; however, the faculty member's department/school may initiate a regular promotion review at any time.

D. Evaluation Criteria for Promotion and Tenure

Faculty at NPS are judged in two general categories for Pay, Promotion and Tenure: 1) internal service to NPS and 2) external visibility which demonstrably enhances NPS's reputation in either the academic community or DoD (or both). Tenure-track faculty at NPS are expected to be strong contributors to high quality, relevant instruction and to be active in their profession and service to DoD. Adequate performance in these areas does not automatically qualify an individual for merit increases, promotion, or tenure. For example, doing an adequate, even exemplary, job of teaching 1000-3000 level courses, but making only a minimal impact on the world outside NPS, should not qualify a faculty member for advancement. Impact on the outside world can be achieved in any area of faculty performance, including instruction. The quality and quantity of performance above acceptable will determine the rate at which an individual progresses through the academic ranks. Promotion to Professor additionally requires that the person demonstrates consistent leadership in at least one area of faculty activity and has meritorious performance in both internal and external service. Fur-
ther guidance on the evaluation of the scholarly products of faculty is found in the "Marto" Report and the Report of the Committee on Nontraditional Productivity. Judging an individual's qualifications for advancement should be on the basis of his/her meritorious performance. By this is meant performance in both internal and external service that are worthy of note. Listed below are some typical examples of internal and external activities that indicate such meritorious performance. The implication is not that a person should pick "one from column A and two from column B" and get promoted, but that the successful faculty member should be engaged in a significant amount of meritorious work.

Representative Internal Activities

- Demonstration of quality and flexibility in instructing graduate-level and applications-oriented courses
- Introduction of new material in curricula and development of new courses, particularly special topics courses with DoD relevance
- Development or implementation of creative teaching methods (such as computer-aided instructional materials) to improve upon student learning efficiency
- Development of extensive instructional material
- Leadership in developing and/or refining curricula
- Development of instructional laboratories, including specifying equipment and designing experiments
- Service as academic associate, associate Chair, Institute Director, Chair of a school-wide committee, etc.
- Contributions to interdisciplinary research projects
- Direction of high-quality research efforts by thesis or project students
- Direction of DoN-relevant theses or group projects
- Tutoring students who need remedial work
- Teaching capstone courses in applied areas
- Teaching in operations oriented curricula

Representative External Activities

- Creation of products of direct use to Navy operations, both shore and sea-based
- Publication of research results in refereed archival journals and conference proceedings at a regular rate
- Service in a professional society through elected offices, committee work, conference planning, editorial work, peer/proposal review, etc.
- Participation in fleet exercises
- Participation in a Navy, multi-laboratory research project
- Publication of a textbook that receives acceptance external to NPS
- Offering on-campus and off-campus short courses to DoD personnel
• Creation of instructional material that receives significant use outside NPS, (e.g., textbooks, course notes, teaching methodologies, etc.)
• Acting as a consultant for operational commands and other DoD organizations
• Service in high-level position in DoD
• Publication of technical reports, either unclassified or classified, from a DoD or non-DoD research program (For this work to be a significant factor in promotion and tenure actions, timely external peer review is essential.)
• Contribution of chapters in research monographs
• Presentation of research results to operational commands and other DoN, DoD or Homeland Security organizations
• Participation in research with operational units, laboratories, systems commands, and headquarters of the Navy and Marine Corps (or other services)
• Service to DoD or Homeland Security by participation in workshops, on panels, advisory boards, and liaison with laboratories.

NONTENURE-TRACK FACULTY

As a complement to the tenure-track faculty, the nontenure-track faculty increases institution flexibility and provides a means for responding to a number of program needs that may be difficult to satisfy in the short term within the administrative parameters of the regular faculty.

All nontenure-track appointments are temporary and offers of employment and renewal letters (if any) explicitly state this fact. Such appointments may or may not be renewable depending upon conditions set forth below.

Terms of Appointment. All nontenure-track appointments are normally for one year, renewable for additional one-year periods up to the maximum allowed length of service. All appointments are contingent on the availability of funds, with a salary dependent on the work performed and the qualifications of the incumbent.

Academic Support Faculty. Academic faculty are nontenure-track faculty members performing predominantly administrative duties in support of the instruction and research mission of NPS. Academic Support Faculty are appointed by the Provost for fixed terms, not exceeding three years with the possibility of renewal, pending satisfactory performance and continued need for the position.

Administrative Support Faculty. Administrative faculty are nontenure-track faculty members performing predominantly administrative duties with little instruction or research responsibilities. Administrative faculty are appointed by the Provost for fixed terms, not exceeding three years with the possibility of renewal, pending satisfactory performance and continued need for the position.
Research Faculty. Research faculty devote their activities primarily to sponsored research and advising thesis or project students. Generally, research faculty should not teach more than two courses (or sections of a course) in an academic year.

Titles for Nontenure-track Faculty. The following titles apply to nontenure-track faculty.

- Lecturer. A Lecturer is a non-tenure track appointment. The Lecturer title applies to faculty whose primary duty is instruction in a specific field that is more limited than that generally covered by a Tenure Track faculty member. (Occasionally Lecturers may be appointed to administrative positions, when appropriate.) This is a temporary position and appointments are usually of one to three years duration, with the possibility of renewal. Appointments generally expire at the end of the Summer quarter.

Lecturers should have a relevant terminal degree, or a Master’s degree, and outstanding instructional capability, and/or significant practitioner experience.

Departments and Schools are expected to conduct a search before filling Lecturer positions. The search range should be appropriate to the position and need not be national in every instance. The Department/Group Chair (or Dean of the GSBPP) forwards an appointment request package consisting of the position announcement, locations of the position announcement, a listing of applicants, the justification for the choice made, the applicant’s resume, and any other pertinent materials. The appropriate Dean must review all appointment requests and forward their recommendations to the Provost for action.

Because Lecturers are faculty who focus on teaching, their performance expectations differ from those of tenure-track faculty. Instructional excellence, in a classroom or administrative role, must be paramount in their evaluations. Disciplinary research may certainly contribute to the excellence of their teaching and thesis advising, but it should be evaluated in that context rather than as a contribution to the discipline. Similarly, service either within NPS or externally to professional societies, should be evaluated with respect to its contribution to teaching effectiveness.

The performance expectations for Lecturers are:

- Effective performance of instructional activities (teaching, advising)
- Maintenance of currency of academic and/or professional knowledge and qualifications

Lecturers may be reappointed for terms not to exceed 3 years. There is no limitation on the number of times a Lecturer may be reappointed. Reappointment depends primarily on the continuing need for the explicit teaching duties being performed and on the competency of the faculty member. Reappointment requests are to be approved by the appropriate Dean before being forwarded to the Provost.

Before the sixth-year of service is completed, the recommendation for reappointment as Lecturer must be accompanied by a written report of a Faculty Review Committee (at least two of whose members are tenured faculty from that School), appointed by the Chair, that has completed an in-depth review of the candidate's performance. The Committee should also certify the continuing need for the position.
A Lecturer may be promoted to a Senior Lecturer position. The promotion process is the same as that for all other faculty, but focuses on the achievements of the candidate in the area of instruction. Since there is no limitation on how long a Lecturer may occupy a position (other than a continuing need for the position and adequate performance of duties), there is no requirement that a Lecturer be promoted to a Senior Lecturer position in order to continue to hold a position at NPS.

- **Senior Lecturer.** A Senior Lecturer is a non-tenure track appointment. The title is reserved for senior faculty with superb instructional capabilities and who possess specialized knowledge relevant to NPS. (Occasionally Senior Lecturers may be appointed to administrative positions, when appropriate.) This is a temporary position and appointments generally do not exceed a 3-year term, with the possibility of renewal. A senior lecturer should have a terminal or master’s degree, and appropriate specialized operational, industrial, government, or application skills and experiences.

Departments and schools are expected to conduct a search before filling Senior Lecturer positions. The search range should be appropriate to the position and need not be national in every instance. The Department/Group Chair (or GSBPP Dean) forwards an appointment request package consisting of the position announcement, locations of the position announcements, a listing of applicants, the justification for the choice made, the applicant’s resume, and any other pertinent materials. The appropriate Dean must review all appointment requests and forward their recommendations to the Provost for action.

The performance expectations for Senior Lecturers include:

- Effective performance of instructional activities (e.g., teaching, advising, laboratory development)
- Maintenance of currency of academic and/or professional knowledge and qualifications
- Participation in the NPS/Department/School communities
- Intellectual contributions, including contributions to learning and pedagogy, to practice, or to an academic discipline.

Senior Lecturers may be reappointed for terms not to exceed 3 years. There is no limitation on the number of times a Senior Lecturer may be reappointed. Reappointment depends primarily on the continuing need for the explicit teaching duties being performed and on the competency of the faculty member. Reappointment requests are to be approved by the appropriate Dean before being forwarded to the Provost.

Before the sixth-year of service anniversary is reached (during year five), the recommendation for reappointment as Senior Lecturer must be accompanied by a written report of a Faculty Review Committee (at least two of whose members are tenured faculty from that School), appointed by the Chair, that has completed an in-depth review of the candidate’s performance. The Committee should also certify the continuing need for the position.

- **Research Assistant Professor, Research Associate Professor, Research Professor.** These positions are non-tenure-track appointments reserved for research faculty with a PhD or equivalent degree, or equivalent experience. Other than the fact that these are non-tenure-track appointments, the ranks are equivalent to the tenure-track professorial ranks. The maximum length of service for a Research Assistant Professor is seven years (with a one-year notification
of non-reappointment at the end of the sixth year); the other two ranks do not have length-of-service limitations. All Research Faculty positions are explicitly dependent on the availability of research funds.

- **Administrative Associate.** An Administrative Associate is a faculty member predominantly engaged in administrative duties in support of the education and research mission of NPS. A Research Associate typically has a Masters degree or a PhD in a field applicable to NPS. Administrative Associates are appointed by the Provost to terms not exceeding three years. Renewals are possible, pending satisfactory completion of duties and availability of funding.

- **Research Associate.** A Research Associate works under the direction of a faculty member to support the reimbursable research activities at NPS. A Research Associate typically has a Masters degree or a PhD in a field applicable to the research. Research Associates are appointed by the Provost to terms not exceeding three years (pending availability of reimbursable funding) upon the recommendations of the Principal Investigator(s), the Department/Group Chair (or GSBPP Dean) or Institute Director and the appropriate Dean. Renewals are possible, pending satisfactory completion of duties and availability of reimbursable funding.

- **Research Assistant.** A Research Assistant is a nontenure-track faculty member with a Bachelor's degree who assists in the performance of research duties under the direction of the Principal Investigator. (It is noted that there is also a GS-series of positions with the same title as "Research Assistant". Employees in this GS series are not faculty members.)

- **Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor.** These are short-term, nontenure-track positions. The maximum length of service for Visiting Instructor is three years unless the incumbent is pursuing a PhD degree at NPS. In the latter case, this length of service for a Visiting Instructor may be extended to a maximum length of service of seven years. The Visiting Professorial ranks have a maximum length of service of seven years (with a one-year notification of non-reappointment at the end of the sixth year). Due to their short-term nature, promotions are not done for the Visiting ranks.

- **Sponsored Chair.** The Sponsored Chair nontenure-track faculty positions are reimbursably funded by outside government agencies or corporate sponsors (through the NPS Foundation). The Chair positions bring eminent visitors to the NPS campus for the purpose of interacting with NPS students and faculty. A Sponsored Chair appointment is typically one year in duration with renewals possible subject to the mutual agreement of the incumbent, NPS, and the sponsor. Initial appointments are made through a search process established by the sponsor and NPS (usually through a Memorandum of Agreement).

- **Visiting Scholar.** The title of Visiting Scholar is used at NPS for some international scholars at NPS working under a J-1 visa. Applications for this designation should be initiated by the visitor in consultation with the Chair or Director of the entity being visited for transmittal to the Provost via the Chair/Director and appropriate Dean.

- **Courtesy Appointments.** Occasionally it may benefit both a visitor and NPS if the visitor has an NPS faculty title. In such cases, the visitor may request a courtesy appointment from the Provost via the appropriate Chair/Director and Dean. The request should specify the appointment title, term and present the reasoning for the benefit of title to the appointee and to NPS. If approved, an appointment letter will be returned from the Provost. Visitors without such an appointment letter must not describe themselves as NPS faculty members.
Recruitment. All faculty hiring at NPS is by selection of the best qualified person from a pool of available applicants generated by an open recruitment process. Recruitment may be conducted by the principal investigator of the research project (in consultation with the Department/Chair, GSBPP Dean, or Institute Director). Recruiting for all other positions requires the involvement of the Department’s/Group’s, GSBPP’s, or Institute’s Recruiting Committee. In addition, all recruiting requires the approval of the Department/Group Chair, GSBPP Dean, or Institute Director and must meet EEO policies and procedures. (The NPS EEO Office is ready to help.) This recruitment process also applies to the movement of a faculty member from one nontenure-track category to another, or to the tenure track. See NPSINS 12713.4A for more information.

Nontenure-track Faculty Promotions. Faculty in nontenure-track positions can be promoted to higher nontenure-track ranks if their contributions qualify them for such advancement. The procedures for promotion of nontenure-track faculty are similar to that for tenure-track faculty described elsewhere. The Department, Group, GSBPP, or Institute forms a Department Evaluation Committee (DEC) to objectively evaluate the candidate’s documentation package. The evaluation is done to match the candidate’s work profile (i.e., with appropriate emphasis on the contribution to match the expectations of the position). Nontenure-track instruction faculty are evaluated on their internal and external instruction contributions, as well as their service contributions to the School and, where appropriate, external agencies. Research faculty are evaluated primarily on the basis of their research contributions.

Reappointment. At the end of each appointment, renewals of nontenure-track faculty are accomplished by a request from the Chair (or GSBPP Dean) to the Provost (via the appropriate Dean) including a statement on the quality of performance, Department/Group/GBPPP needs, and availability of funding.

Performance Reviews. In addition to renewal requests, performance reviews by Department/Group/GBPPP committees are required every three years. If the Chair (or GSBPP Dean) decides to recommend termination of employment based on the quality of a faculty member's performance, a six-month terminal appointment will be made. Shorter appointments, if any, may be made if the termination of employment is based on Department/Group/GBPPP needs or the unavailability of funding.

Salary Schedule and Equivalent Rank. NPS faculty are on a Salary Schedule established by Department of the Navy and approved by Congress. This schedule is set up around ranks with the various titles of Professor or Instructor. To avoid disrupting the linkage of nontenure-track faculty to this schedule, NPS qualifies the position title with the statement, “with the equivalent rank of _______ Professor,” for the purpose of salary determination where needed. The rank equivalence is shown in the following table. This equivalence is for pay purposes only.

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<tr>
<th>Title</th>
<th>Equivalence for Pay Purposes</th>
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Visiting Assistant Professor
Visiting Scholar

Senior Lecturer
Research Associate
Research Associate Professor
Visiting Associate Professor
Visiting Scholar

Senior Lecturer
Research Associate
Research Professor
Visiting Professor
Visiting Distinguished Professor
Visiting Scholar

Courtesy Appointment

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<td>by “home” institution)</td>
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MILITARY FACULTY

Active-duty military members are often appointed as faculty members at the Naval Postgraduate School. Military members with an earned doctorate in the discipline are eligible for the titles of Assistant Professor, Associate Professor, or Professor with the possibility of promotion by the same procedures used for civilian tenure-track faculty. Individuals without the earned doctorate are eligible for the following titles, as appropriate,

- **Military Lecturer.** This title is used for military faculty typically holding a masters degree.
- **Military Assistant Professor.** To be considered for this rank, the individual must be a proven subspecialist, serving in the area of his/her masters degree.
- **Military Associate Professor.** The title of Military Associate Professor is reserved for officers with extensive academic or academically-relevant experience.
- **Military Professor.** The title of Military Professor is reserved for officers with more extensive academic or academically-relevant experience.

All military faculty members need to be appointed by the Provost, upon the application by the Department/Group Chair and the recommendation of the appropriate Dean. (The application should specify the individual, a short summary of qualifications, the appropriate title, and the term of the appointment.)
MILITARY FACULTY PROMOTIONS

Military faculty holding the PhD degree (or equivalent experience) may receive professorial rank when assigned to NPS and may be promoted by the same procedures applied to civilian tenure-track faculty. Military faculty without the doctorate (or equivalent experience) are assigned to the Military Lecturer, Military Assistant Professor, Military Associate Professor, or Military Professor rank, depending on qualifications. Since military assignments to NPS are typically for periods of only three years, it is unlikely that an individual can make sufficient contributions to warrant promotion in that short period. In the exceptional case where a person's contribution to the NPS instruction program is sufficient to warrant such promotion, the procedure is the same as for civilian non-tenure-track faculty.

NOTIFICATION OF PROMOTION RESULTS TO FACULTY CANDIDATE

The Department/Group Chair (or GSBPP Dean) shall advise each faculty candidate of the recommendations that the Chair (or GSBPP Dean) proposes to make to the Provost regarding promotion and/or tenure for that person before the Chair (or GSBPP Dean) submits such recommendations to the Provost. Notification of final decisions by the NPS President will be made in writing by the Provost to all faculty members who are promoted, granted tenure, or awarded step increases in salary. Further, if tenure is not awarded, written notification of an intention of non-reappointment will be provided to the affected faculty member. If a Chair's (or GSBPP Dean's) recommendation for promotion and/or award tenure is not approved in an individual case, the reasons for such non-approval will be communicated to the Chair (or GSBPP Dean) by the Provost and discussed by the Chair (or GSBPP Dean) with the faculty member concerned.

PAY-STEP INCREASES

Annually, the appropriate Dean allocates available pay steps to each Department/Group (or to the GSBPP). The Chair (or GSBPP Dean) assigns these pay steps to faculty members in recognition of especially meritorious performance during the preceding year. The Chair (or GSBPP Dean) may also request additional consideration for individual faculty members from the Provost (via the appropriate Dean). The Provost makes final recommendations to the President.

MENTORING

A mentoring program has been established as part of the faculty development effort at NPS. Each faculty member who has not reached the highest rank of their respective tenure-track or non-tenure-track ladder is to be mentored by a Faculty Mentoring committee. This committee is appointed by the Department/Group Chair (or GSBPP Dean) in consultation with the faculty member. This mentoring committee is charged with per-
forming an annual review of all aspects of the faculty member's performance (including instruction, scholarly activity, service activities, etc.) The committee is expected to evaluate the quality of the faculty member’s products and to compare the faculty member's productivity with that expected from a successful faculty member of the same rank. Annually, the Mentoring committee provides the candidate with a written evaluation (with a copy provided to the Department/Group Chair and the Dean of the appropriate Graduate School). Informal feedback should also be provided to the candidate at other times, as appropriate.

NON-CITIZEN FACULTY MEMBERS

Use of non-citizen faculty members provides opportunities for the employment of high quality professionals, often in areas of national shortage. It is prudent, however, to establish policy to control the overall levels of non-citizen faculty members. The following guidelines apply:

- **Tenured Faculty.** Non-citizens of the United States may not be granted tenure at the Naval Postgraduate School. Non-citizen faculty who reach the tenure decision point will be judged for tenure at the normal time. If the decision is positive to grant tenure, the individual will continue on a year-to-year appointment until either a) citizenship is granted, upon which occurrence tenure will be granted, or b) citizenship is denied or the individual decides not to apply for citizenship, upon which occurrence the individual will not be reappointed (with one year's notice).

- **Tenure-Track Faculty.** The individual is expected to pursue citizenship diligently and to acquire it at the earliest opportunity. Failure to do so is grounds for non-reappointment after the usual notification period.

- **Non-tenure-Track Teaching Faculty.** Within each Department/Group, the number of non-citizen teaching faculty who are not on the tenure-track will be controlled so that no more than approximately 10% of the teaching budget is allocated for their services.

- **Non-tenure-Track Research Faculty.** Department/Group Chairs will ensure that no more than approximately 30% of their Department/Group research labor is used on employment of non-citizens.

- **Chairs.** Non-citizen percentage controls do not apply.

To avoid problems, before recruiting or recommending employing non-citizens, the Chair should consult with the Office of Academic Administration, the NPS Security manager and the HRO Director.

It should be noted that dual citizenship is not allowed for faculty holding security clearances. Removal of a security clearance makes a faculty member ineligible for further employment.

**Visa Requirements.** Non-citizen faculty members are required to have a visa to cover their period(s) of employment at the School. An important consideration in applying for a visa is the time requirement. For example, a minimum of one year is required to receive an H-1 visa. Briefly, the types of visas used at NPS are:

- **H-1 visa:** for aliens of distinguished merit and ability coming to the U.S. to perform work requiring that level of ability:
For temporary stays, issued for one year at a time.

- Extensions may be possible for as long as 6 years.

- Holder may apply for admission as a permanent resident while in the U.S. in H status. No intervening residency in the home country is required.

- Visa-holder's pay is subject to Social Security tax withholdings.

- J-1 visa: for temporary admittance as a participant in the NPS visitor exchange program designated by the Department of State. Holders of a J-1 visa should apply to the Provost (via the appropriate Chair/Director and Dean) for a title of "Visiting Professor" (or "Visiting Assistant Professor", "Visiting Associate Professor"), "Research Scholar", or "Short-term Scholar" as authorized by the Department of State. The Director of Academic Planning coordinates all requests for J-1 visa status.

- Issued for one year (with renewals possible for a total of three years) or for up to three years. (Note: At the time of writing [June 2006], indications are that the time limits will be increased from three years to five years.)

- Two-year residency in home country is required after a J-1 stay in the U.S. before applying for immigration.

- Visa-holder's pay is not subject to Social Security tax withholdings.

CHAIR PROFESSORSHIPS

A limited number of Chair Professorships have been established at NPS for the purpose of attracting high-quality academicians or practitioners with the ability to contribute significantly to the academic programs at NPS. Such Chairs are faculty positions and, as such, exist only within an academic unit (Departments, Groups, Schools or Institutes). Incumbents are assigned the rank of Visiting Associate Professor or Visiting Professor, as appropriate, since the appointments are of fixed duration. As with any faculty position, appointment as a Chair Professor requires approval by the appropriate Dean, Provost, and President, with a signed appointment letter being sent by the Provost.

Establishment of a Chair requires a formal agreement between NPS and an external sponsor. These agreements are Memoranda of Understanding (MOU) between NPS and the sponsor outlining the purposes of the Chair, the duties of both parties, and the duties of the chairholder. NAVPGSCOLINST 3900.3F describes the policies and procedures associated with Chair professorships. The Associate Provost and Dean of Research provides oversight of the Chair Professorships at NPS. The Research and Sponsored Programs Office can provide information on the preparation of an MOU to support the establishment of a Chair position.

There are several different funding arrangements possible for chairholders, but a common arrangement for civilian faculty is the Intergovernmental Personnel Act (IPA) agreement (see NPSINST 12334.1B.pdf for details). The Research and Sponsored Programs Office handles preparation and routing of all MOU and IPA agreements for Chair Professorships.
EMERITUS FACULTY

Retired tenured faculty members can receive emeritus faculty status. The proper title will be as a suffix following the highest rank achieved as an active faculty member (e.g., Professor emeritus, Associate Professor emeritus). The conferring of emeritus status is in recognition of service to the Naval Postgraduate School and to its students.

Eligibility. All tenured faculty members may receive emeritus status upon application to the Provost after retirement.

Administrative Policies. The following administrative policies apply:

- Facilities. Emeritus faculty members are eligible to use the recreation facilities (gym, etc.), the library, computing facilities, and the facilities of the Commissioned Officers and Faculty Club.
- Identification Cards. Upon retirement, emeritus faculty will receive an identification card to assure use of the NPS facilities.
- Security Clearance. Emeritus faculty actively engaged in teaching or sponsored research at NPS may be able to retain their security clearances at NPS. Check with the NPS Security Manager.
- Faculty Membership. Emeritus faculty are “Associate members” of the faculty with all of the privileges of regular members (primarily privileges of the floor and service on committees) but not the right to vote or to hold office.
- Research Proposals. Emeritus faculty may file research proposals that support the School’s mission. These proposals will follow the usual procedures including obtaining the required approval signatures.
- Office Space, Secretarial Support, and Other Resources. When available, office space and resource support will be assigned to those emeritus faculty desiring it. The allocation of resources to emeritus faculty members will be done by the Chair of the Department/Group (or the GSBPP Dean). Priority will be given to emeritus faculty engaged in teaching, with secondary priority to those engaged in sponsored research.
- Benefits. Benefits (health insurance, life insurance, retirement annuities, etc.) for retired faculty members are governed by Civil Service regulations and policies. Retired faculty should consult the Office of Personnel Management for more information.
- Mail. Emeritus faculty may receive official professional mail at their Department/Group.
- Computer Accounts. Emeritus faculty are able to keep their NPS computer and email accounts, if desired.
- Parking. Emeritus faculty in a teaching status are eligible for a faculty parking sticker (The Office of Academic Planning provides the approval.).
FACULTY PROFESSIONAL RESPONSIBILITIES

The faculty member is guided by the deep conviction of the worth and dignity of the advancement of knowledge. This mandates a personal responsibility to live up to full intellectual potential and to develop a solid base of professional activities. He/she recognizes that an academic career is a full-time job.

As a teacher, the professor has responsibilities to students to encourage their free pursuit of learning, emphasizing a role as intellectual guide and counselor. The best scholarly standards must be maintained, bearing in mind the School's educational mission and the officers' future requirements. The professor earns the respect of students and of colleagues as regards his/her teaching activities, both in and out of the classroom.

As a scholar, the faculty member develops and maintains a reputation among professional peers outside the School through such activities as publication; consulting; active participation in learned societies; interaction with other Navy, DoD, or Federal activities; etc. The scholar recognizes a responsibility to contribute actively to the body of knowledge encompassed by his/her field.

As a member of the faculty, the professor has the obligation to exercise good academic citizenship by full participation in the governance of the faculty, including the acceptance of committee duties, etc. The faculty member also recognizes personal responsibilities to the administrative operation of the School by direct participation and by adherence to stated regulations.

Finally, as a member of the Naval Postgraduate School and of the Navy community, the faculty member has a special responsibility to insure that all professional activities are consistent with the mission of the Navy. The faculty member is aware of the importance of graduate education to the Naval and military officers and other students of NPS and is thus committed to achieving educational objectives useful to the student throughout his/her career.
SECTION V – SCHOOL POLICIES AND PROCEDURES

ACADEMIC WORKLOAD

The full-time academic workload encompasses many activities and is a different mix for each faculty member. These activities may include classroom instruction, distance learning instruction, laboratory instruction, preparation of course or laboratory materials, preparation of web-based learning materials, thesis or group project supervision, performance of research, curriculum design, student advising, NPS administration, advising Navy and other government activities, and myriad other tasks. Each quarter, faculty members are required to inform their Chair (or the GSBPP Dean) in writing of the activities that they will be performing during that quarter in the form of a “Workload Agreement”. The Chair (or GSBPP) signs the form if the stipulated workload is appropriate and approved. The appropriate Dean arbitrates any disputes regarding appropriate workloads.

Quarters containing the two-month faculty intersession can be spent in diverse ways. The intersession period can be used for a variety of activities including reimbursable research, classroom instruction (when requested by the Department/Group Chair), reimbursable short-course instruction, NPS administrative activities, or leave without pay. The third month of the intersession quarter can be used for annual leave, reimbursable research, or for academic duties determined in cooperation with your Chair (or GSBPP Dean). The Workload Agreement is used to delineate the expected duties (if any) during any quarters with intersession periods.

ACADEMIC COUNSELING

Academic counseling of students is the responsibility of the Program Officers, Academic Associates, and the individual members of the faculty. The counseling program is designed to encourage students to seek assistance when advice is desired or when the first indications of academic difficulties develop. At the beginning of each quarter, each faculty member should post office hours, notify their classes of the schedule, and encourage students to arrange appointments in cases of schedule conflicts. Office hours should be maintained conscientiously and should be distributed over the week to accommodate the students.

ASSESSMENT AND ACCREDITATION

In order to promote high quality graduate education, NPS is an institution committed to continuous evaluation and improvement. This commitment begins at the course level with faculty receiving informal feedback from students and using this information for course and program improvement. It continues in a more formalized manner through the various faculty and student surveys, thesis and project evaluations, and student portfolios collected by some departments. Programmatic and school level evaluation by external reviewers is carried out
through three main processes: the Curricular Review, the Academic Program Review, and Accreditation Reviews.

- **Curriculum Review**: Each curriculum is structured around a set of Educational Skill Requirements (ESRs) which are developed by an external program sponsor at the flag- or general-officer level to meet specific sponsored educational needs. Every two years, each curriculum is reviewed by the sponsor for currency of the program. In addition, there is a biennial flag-level validation of all Navy subspecialty billets. Specific guidelines for conducting curricular reviews can be found in the NPS Instruction 1550.1C.

- **Academic Department Review**: On a 6-year cycle, each department/group/academic curriculum committee will examine the state of its department and degree program(s) with a self-study and create a strategic plan that will provide the foundation for further evaluation from an external review board. This external review board will be invited to NPS by the appropriate Dean and Chair, after nominations are received by the appropriate Dean from the Chair. The purpose of this review is directed not to the curricular program and defense relevancy but to the quality of the academic and degree program, to improve quality of every department, and to provide guidance for administrative decisions in support of continual improvement. The recommendations from the external review board form the foundation for improvement.

- **Accreditation Review**: The culmination of the assessment efforts, which started at the course level and progressed through the curricular, departmental and school levels, is programmatic and institutional accreditation. NPS maintains accreditation by the Western Association of Schools and Colleges (WASC). Additionally, the Electrical Engineering, Mechanical Engineering, and Astronautics programs are accredited by the Accreditation Board for Engineering and Technology (ABET) and the management programs are accredited by the National Association of Schools of Public Affairs and Administration (NASPAA) and by the Association to Advance Collegiate Schools of Business (AACSB). These reviews ensure that NPS and the accredited programs meet the requirements of the accrediting agency.

**COMMENCEMENT EXERCISES**

All faculty members who are not on leave or travel are expected to attend the commencement exercises in academic regalia or military uniform, as appropriate. Military faculty members who hold a PhD degree are authorized to wear academic robes. The detailed instructions for commencements are published a week before each event. Consult your Department’s Administrative Support Assistant or your Chair if you have questions.
CONFERENCES

The school hosts classified and unclassified conferences on a wide variety of topics related to the school's mission. All conferences must have prior approval of the Dean of Research, acting on behalf of the President. Conferences are scheduled and coordinated through the NPS Conference Coordinator. Conference sponsors are required to permit NPS students and faculty to attend conference sessions, free of charge, on a space-available basis. Advance programs are often available from the Conference Coordinator. All faculty are encouraged to take advantage of the conference program and to make appropriate opportunities known to their students. Faculty wishing to hold a conference or workshop at NPS can obtain guidelines from the Conference Coordinator. See the Conference Coordinator web site for more information.

CONSULTING AND OTHER OUTSIDE EMPLOYMENT

NPS, recognizing that outside consultation in the field of a faculty member’s expertise has the potential for enhancing the professional competence of a faculty member, allows consulting activity which does not interfere with the performance of all duties at NPS. Consulting activities not in excess of an average of one day per work week (in aggregate) are considered in conformity with this rule. The faculty member, in accepting a consulting agreement does so as an addition to his/her full-time employment by the School and not as a substitute for a portion of it.

The NPS policy on consulting should be reviewed. A faculty member is required to obtain approval from the Provost (or the President, for military faculty) in advance of any proposed engagement in extra-School employment for remuneration. This is done by completing a request for advance approval of outside employment or professional activity in accordance with NAVPSCOLINST 5370.3E. The completed application is to be submitted to the Provost via the Department/Group Chair (or GSBPP Dean), the appropriate Dean, and the Staff Judge Advocate. (Military faculty follow the same procedure.) Approval (or non-approval) will be indicated in writing to the faculty member from the Provost. Approval encompasses the fiscal year of the submission and the following fiscal year. Any continuing consulting beyond that period must be resubmitted for review and approval.

Faculty must review the provisions of the Secretary of the Navy instruction 5370.2 (series) on “Standards of Conduct and Government Ethics” and NAVPSCOLINST 5370.3E for their own legal protection. Some of the basic principles set forth in the “Standards of Conduct” instruction have been listed in the section on “Ethics and Standards of Conduct”.

Faculty members who propose to do consulting which entails travel should make proposed travel requirements known to the Provost at the time that the notice is given of the consulting agreement and should inform the Provost of subsequent changes in travel requirements. A faculty member's primary responsibility is to the Naval Postgraduate School and this commitment must not be compromised. With proper approval of the basic consulting relationship, permission need not be sought for each journey outside the immediate area. Any problems which may arise as a result of this outside-of-area consulting should be treated in the same manner as one would handle a delay in his/her return from annual leave (i.e., notification of the Chair [or the GSBPP Dean] and arrangements to contact any students affected by the late return).
The ultimate responsibility for adhering to the provisions of the DoD directives cited above rests with the individual faculty member. Sanctioning of consulting activity does not imply immunity from the conditions of these directives. There is a continuing obligation for the faculty member engaged in consulting to review the nature of the employment to ensure his/her continued compliance with applicable directives.

COOPERATIVE RESEARCH TOURS AT NAVAL LABORATORIES

Cooperative tours at Navy research facilities during the intersession period provide many civilian faculty members the opportunity to do research at Navy/Government laboratories and to keep abreast of current Navy research problems in their fields of interest. Arrangements for a cooperative tour may be initiated by the individual faculty member through his/her Department Chair (or the GSBPP Dean) and the Dean of the appropriate graduate school.

COPYRIGHTS

The literary property rights of government officers and employees are not affected by their government employment, providing their literary product has not been produced as part of their official duties. (For clarification, see Digest of Opinions, Judge Advocate General of the Armed Forces, Volume 9, page 163, 1959-1960). All publications not required of a faculty member specifically as a part of his/her teaching or research assignment (as recorded in the quarterly workload agreement) will be recognized as having been prepared on his/her own time and not as part of official duties. The referenced JAG opinion is directed solely to the question of copyright entitlement. It does not alter the policy of the Naval Postgraduate School that use of NPS support labor to prepare manuscripts to be commercially marketed is not authorized.

COURT LEAVE

California law does not exempt teachers from jury duty and most NPS faculty can expect to be called to serve. When that happens, the faculty member should notify his/her Department/Group Chair. Further, he/she should, as quickly as possible, communicate with the jury commissioner to request special consideration, if required (e.g., if the proposed service time conflicts with administering final exams). While experiences vary from court to court and from time to time, most faculty members who have been called feel that the local court officials have been helpful in adjusting periods of service to coincide with intersession periods, to fall on particular days of the week on which the professor was free, and to avoid previously planned travel.

Individuals called for jury duty are placed in a "court leave" status. (Please provide your Department’s faculty timekeeper with a copy of the summons to jury duty.) This court leave does not count against annual leave because the individual has been administratively authorized to perform the duty. A Federal employee who receives regular compensation and benefits while performing jury service, may not be paid a fee for atten-
dance as a juror. Federal employees are entitled to be reimbursed for mileage for each mile actually traveled in attending court as a juror after the first day, in-going only. Requests for this reimbursement should be completed at the appropriate Court. Individuals called for court duty while on annual leave should inform the Director of Academic Planning's Office (through their Department Administrative Support Assistant) so that they can be placed in court leave status instead. The change of status will not occur unless notice is given. (Faculty members on unpaid leave will not be recalled to duty and placed on court leave.) For complete information, see NAVPGSCOLINST 7410.3.

DISTINGUISHED VISITORS AT CONFERENCES

Faculty who are coordinating conferences or symposia should report any distinguished conference visitors (who are not coming to do any business with NPS) to the Conference Coordinator. The Conference Coordinator reports such visitors to the Protocol Office in case the NPS President wishes to meet with such visitors.

ETHICS AND STANDARDS OF CONDUCT

In addition to the expected ethical standards of all faculty in academia, NPS faculty members, as government employees, are held to high federal standards of ethics and conduct. The goal is to avoid even the appearance of impropriety.

The faculty member must, for his/her own legal protection, review the provisions of the Secretary of the Navy Instruction 5370.2 (series) on “Standards of Conduct and Government Ethics” and NAVPGSCOLINST 5370.3E. Some of the basic principles set forth in the “Standards of Conduct” instruction include:

- Government facilities, property, and employee labor may not be used for other than officially approved purposes or for private gain (i.e., they cannot be used for consulting activities).
- A government employee may not engage in any activity, with or without compensation, which might result in a conflict of interest or the appearance of conflict of interest.
- With the exception of military reserve pay, government employees may not receive basic pay from more than one position in the government for more than an aggregate of 40 hours of work in one calendar week (Sunday through Saturday). (This is considered “dual compensation” and is forbidden by law.)
- Government employees may not receive any salary or supplementation of salary from a private source as compensation for their government service.
- A government employee may not use, directly or indirectly, “inside information” to further a private gain for his- or herself or for others.
- A government employee is prohibited from using his/her grade, rank, title or position 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.
A government employee may not engage in outside employment or other outside activity, with or without compensation, that may reasonably be expected to bring discredit on the government or the Department of the Navy.

Carelessness in the formulation of agreements or thoughtless actions by either the faculty member or his/her employer can lead to the embarrassment of the School and the possible assessment of civil penalties against or criminal prosecution of the individual faculty member.

The conflict of interest statutes have been interpreted as applying not only to the individual government employee but also to members of the individual's immediate family. Officers on active duty and retired officers who are members of the faculty, are additionally constrained by laws and regulations related to their military service. Further information on ethics and standards of conduct are available from the NPS Legal Counsel in the Judge Advocate General's office or from the NPS Human Resources Office.

Faculty are eligible for consideration for the following awards.

- **Rear Admiral John Jay Schieffelin Award for Excellence in Teaching.** The award is made annually to recognize permanent faculty members who, through wide consensus, excel as teachers. The phrase, "excellence in teaching," refers to that complex of personal and professional qualities and actions on the part of the teacher which make themselves felt primarily at the interface of personal contact between student and teacher; help transmute the student's encounters with the subject matter into insight, enlightenment, and love of learning; elicit from the student responses in thought, feeling, and action which enhance his/her capacity for self education, and manifest themselves in an effective individual style which authentically reflects the teacher's own unique personality, experience, character, and convictions.

  A committee appointed by the Provost conducts a ballot polling of students and graduates to determine the recipient of the award. Usually, the polling begins in January so as to be completed by early June.

  Normally, the award is presented at the June graduation ceremony. The award consists of a certificate and a monetary emolument based on moneys from the Rear Admiral John Jay Schieffelin Award fund and the civil service award system.

- **Honorary Title of Distinguished Professor or Distinguished Senior Lecturer.** The criteria for the honorary title of Distinguished Professor or Distinguished Senior Lecturer are:
  
  - In general, a candidate should be recognized as a "Senior Statesman" among his/her colleagues.
  - The recipient's career should be distinguished by a combination of the following factors: (1) continued effective service to NPS and the faculty who have aided the growth
or enhanced the stature of the Naval Postgraduate School and (2) research or scholarly contributions while at NPS which have had significant impact on the candidate's field.

The Provost annually seeks applications from the faculty. Candidates are prioritized by the Dean's Council and the Provost recommends the recipients to the President, who makes the final selection.

In recognition of this honor, the recipient receives a silver medallion on a neck ribbon to be worn with academic regalia. The recipient is also entitled to the honorary address, "Distinguished Professor" or "Distinguished Senior Lecturer" in appropriate circumstances.

- **Carl E. and Jessie W. Menneken Faculty Award for Excellence in Scientific Research.** This award is presented annually to an NPS faculty member who has demonstrated outstanding effort and achievement in research in science or engineering. The award recognizes meritorious research having identifiable impact on Navy or other Department of Defense technology. The award is especially for the encouragement and benefit of younger or junior faculty members. Selection is made annually from nominations received by a committee appointed by the Dean of Research.

- **Richard Hamming Teaching Award.** Mrs. Wanda Hamming, widow of Professor Richard Hamming, has provided resources to establish the Richard W. Hamming Teaching Award. The purpose of the Award is to recognize a current or recently retired faculty member:
  - Who does an excellent job in classroom teaching as evidenced by the students' mastery of the course material,
  - Whose thesis or group project supervision is recognized to be excellent,
  - Whose contribution to the NPS student’s education extends beyond the classroom

The Hamming Teaching Award is administered by the Faculty Council of the Naval Postgraduate School. A committee formed by the Faculty Council Executive Board considers all nominees and make a recommendation. The President of the Naval Postgraduate School makes the final selection of the winner.

The award consists of a plaque and a cash award.

- **Hamming Interdisciplinary Achievement Award.** Mrs. Wanda Hamming, widow of Professor Richard Hamming, has provided the NPS Foundation with the means to fund an annual award for achievement in interdisciplinary activities. Members and Friends of the NPS Foundation have also contributed to this award.

  This award recognizes innovative accomplishments that support and enhance interdisciplinary activities at NPS. Such contributions might include creative course materials in interdisciplinary courses or particularly effective mentoring of students in interdisciplinary courses or curricula. Research that advances interdisciplinary solutions to contemporary military problems and issues will enhance the nomination. Favorable consideration is given to efforts that involve NPS students in a collaborative manner and to efforts that show evidence of having been particularly stimulated and nurtured by the NPS environment.
The award is open to all faculty instructor positions, both tenure track and non-tenure track.

A faculty committee, constituted annually by the Provost and the Chair of the Faculty, collaborates with the Foundation in selecting the award recipient. Under suitable conditions, the award may be shared between two (or more) recipients, particularly if there is collaborative work. The award need not be made every year.

The award is an engraved plaque and a substantial monetary award.

FACULTY LABOR PLAN

At the beginning of the fiscal year (or academic year), each Department/Group Chair develops and submits a Faculty Labor Plan for the Department/Group. This plan identifies the number of days in each quarter that each faculty member will spend supported by NPS funds and reimbursable funds. It is important for each faculty member to understand and discuss this plan with the Chair in order to identify the expectations for teaching and other instructional activities and the amount of reimbursable activity expected. Major changes and updates to the plan need to be discussed with and agreed to by the Chair.

FACULTY PERFORMANCE APPRAISAL

Besides the Promotion and Tenure (P&T) process, all NPS Faculty are subject to an annual performance appraisal. This Appraisal system meets the government standards for annual appraisals. NAVPGSCOLINST 12430.2F establishes the basic framework for the civilian faculty performance appraisal program in accordance with Title II, Civil Service Reform Act, Public Law 94-454. This program is intended to supplement, but not replace, the pay, promotion, and tenure procedures.

Each year faculty members receive a copy of the appraisal standards for the forthcoming year. All faculty members are appraised against these established performance standards annually. The appraisal period is from 1 May to 30 April of the following year. Faculty members receive appraisals of “Meritorious” or “Not Successful” in elements applicable to their position, as well as a summary rating. A first-time rating of “Not Successful” in any element initiates a remedial process that allows a Faculty member to improve his/her performance. Faculty members may grieve performance appraisals and other matters relating to the appraisal program in accordance with NAVPGSCOLINST 12430.2F.

HALL OF FAME/ DISTINGUISHED ALUMNI PROGRAM

Through the NPS Hall of Fame and Distinguished Alumni programs, NPS recognizes graduates and other individuals who have reflected great credit upon NPS and its academic mission. NAVPGSCOLINST 1650.2 contains detailed information on these award programs, along with nomination forms.
- **Hall of Fame.** Membership in the NPS Hall of Fame recognizes the accomplishments of distinguished alumni and friends who have made significant contributions to society, their nation, and to NPS. This honor generally requires far-reaching contributions of national or international service at the very highest levels, coupled with significant advocacy of NPS. The award may be granted posthumously. Alumni status is *not* required for this award.

Nominations are collected by the NPS Alumni Relations Office (ARO) using a form found in NAVPSCOLINST 1650.2. A selection board (described in the NPS Instruction) reviews the candidates and makes a recommendation to the NPS President and Provost. (The President and Provost may also designate awardees without the selection board's review.) Induction into the NPS Hall of Fame preferably takes place at an appropriate ceremony at NPS.

Hall of Fame inductees receive a NPS Hall of Fame medal and have their portrait placed in the Hall of Fame display.

- **Distinguished Alumni Program.** This program recognizes alumni who have made distinguished contributions to a branch of learning associated with national security, have rendered distinguished service to the national security, or have made a distinguished professional achievement that reflects credit on the recipient and NPS. Alumni automatically eligible for the award include those who have attained Flag or General rank or who have been appointed at a Senior Executive Service level (or equivalent in their nation). The award may be granted posthumously.

Nominations are collected by the NPS Alumni Relations Office (ARO) using a form found in NAVPSCOLINST 1650.2. A selection board (described in the NPS Instruction) reviews the candidates and makes a recommendation to the NPS President for final approval and selection. Induction of Distinguished Alumni preferably takes place at an appropriate ceremony at NPS.

Distinguished Alumni receive a framed certificate signed by the President and Provost. Their names are added to a wall plaque displayed on campus in a position of honor that is accessible to students, faculty, and staff.

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**HUMAN SUBJECTS IN RESEARCH**

Due to past abuses nationally and internationally, the use of human subjects in research is tightly controlled. At NPS the use of human subjects in research (or laboratory) experiments is not allowed without permission from the NPS Institution Review Board (IRB). If you or students plan to use human subjects in your class or your research, see NAVPSCOLINST 3900.4 and consult the Research and Sponsored Programs Office for processes to receive approval *before* beginning the experiments.

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**IDENTIFICATION CARDS**

The Common Access Card (CAC) is a DoD-wide identification card issued to DoD employees. The NPS Human Resources Office (HRO) is the approving authority to authorize the issuance of a CAC for faculty and
staff Federal civilian employees. (Military Faculty are authorized by the PSD Monterey ID office.) Federal civilian personnel fill out Parts 1 and 2 of DD Form 1172-2 and obtain verification and approval from the HRO. (Citizenship will need to be verified with birth certificate, passport or naturalization certificate.) With the completed approved form, the PSD ID Office issues the CAC.

Some contractors are eligible for a CAC (Common Access Card). The same procedures are followed, but the approving authority for most contractors is the Dean of Research.

NPS has established the Biometric Identification System (BIDS) card to control base access and to provide identification cards for personnel associated with NPS who are not eligible for a CAC. The following fall into this system (with the approving authority noted in parentheses):

- Emeritus Faculty (Director, Academic Planning)
- Visiting civilian faculty (Director, Academic Planning)
- Postdoctoral researchers (Director, Research and Sponsored Programs Office)
- Contract researchers (Director, Research and Sponsored Programs Office)
- Exchange Scientists and Engineers (Director, Research and Sponsored Programs Office)
- Visitors under the Intergovernmental Personnel Act (IPA) (Director, Research and Sponsored Programs Office)
- Visitors on sabbatical at NPS (Director, Academic Planning)
- Civilian employees from other US government agencies detailed to NPS (Director, Academic Planning)

Personnel initiate the request on NPS PD Form 001 (Application for BIDS Card Enrollment) in Parts I and II. The approval authority (noted above) verifies and approves the application. The office that issues the card for faculty is the Police Vehicle Registration office just outside the Del Monte Avenue entrance to NPS.

Note that internationals in these categories must also have a visit request made before their arrival.

Detailed information can be found in NAVPGSCLINST 5512.2

INTEGRITY OF RESEARCH

Reports in the national press of scientific misconduct remind us that the maintenance of high standards in the conduct of research is the shared responsibility of all participants: the investigators, the institutions, our professional organizations, and the government. NPS strives to ensure that good research practices are adhered to and that our reward system appropriately recognizes research quality, integrity, and mentoring. All faculty must work with vigor to reduce the occurrence of practices that undermine the integrity of the research process and its results. Misconduct in research (such as fabrication, falsification, and plagiarism) and questionable research practices (such as inappropriate authorship, misuse of student talents, or faulty data handling) are not tolerated at NPS. We insist on truthful reporting of results with enough thoroughness that others are able to
reproduce and build on experiments and that significant errors are corrected when recognized. Individual researchers at NPS share a collective responsibility for ensuring integrity in NPS research. They are expected to take action when they become aware of inappropriate research conduct and to support and protect those individuals who, in good conscience, report suspected misconduct in research.

LONG-TERM TRAINING AND EDUCATION PROGRAM

Section 16 of the Policy Regarding Appointment, Promotion, Salary and Tenure Of Office Of Civilian Members of the Faculty provides the basic policy of this program. It is the policy of the Navy Department to provide long-term training essential to the accomplishment of its mission. "Long-term" training refers to training consisting of 120 consecutive training days or more, in either Government or non-Government training facilities and in management or within specialization subject matter categories. This training and education must have high potential value to the Navy Department and must be related to specific functions and responsibilities, either current or those of the future. The training must relate to the employee's performance in the present assignment or in planned future assignments. The employee must have demonstrated aptitude for the training and have reached a point in career development where the training opportunity is appropriate.

This program comes under the purview of the Office of Personnel Management and specifics may be found in the Civilian Personnel Instruction (CPI410). A long lead time between application and implementation is required since the requests for training must be centrally approved. Training for the sole purpose of obtaining a degree or for personal benefit is not authorized under this program. Faculty members interested in exploring the full aspects of this program should contact their Department Chair (or the GSBPP Dean).

MEMORANDA OF AGREEMENT or UNDERSTANDING

Occasionally faculty members will want NPS to enter into a formalized agreement with an Instruction or Research Sponsor. Usually such agreements are done with a joint Memorandum of Agreement (MOA) or a Memorandum of Understanding (MOU). Only the NPS President is authorized to enter into such agreements; faculty are not authorized to sign or enter any such agreement. (The Associate Provost/Dean of Research can sign MOAs which serve the purpose as substituting for a research proposal.) Information on the purpose and preparation of such agreements is within the purview of the NPS Research and Sponsored Programs Office. See NPSINST 5760.2A.pdf for detailed information and contact the Research and Sponsored Programs Office for guidance and help when you are ready to begin the process of formulating a MOU or MOA.
NEPOTISM

In accordance with federal law, federal government officials (including the NPS faculty) may not grant improper preference, assistance, or advancement to an individual related by blood or marriage. Among the prohibited practices are

- Participating in or advocating any personnel action (including hiring, promoting, etc.)
- Supervising work activities or job performance of a relative (including temporary workers, student workers, etc.)
- Making any Institutional decision of direct benefit to a relative (officials must recuse themselves from participating in such a decision)
- Conflicts are best resolved by management, using reassignments or transfers. NPSINST 12310.1 describes a reassignment/termination procedure if a conflict cannot be resolved.
- Conflicts of interest based on nepotism need to be identified to the Human Resources Office by the Chair/Director via the appropriate Dean when the a personnel action is proposed. The HR Director reviews any proposed operational changes proposed by the managers to eliminate the possibility of improper influence. The Provost or NPS Chief of Staff has the final review and approval authority.

It is important to avoid the appearance of nepotism. Non-supervisory faculty need to be especially aware of possible conflicts of interest when they are the principal investigators (PI) of a reimbursable project.

See NPSINST 12310.1 for more information.

ON-CAMPUS ATTENDANCE

It is recognized that faculty can perform many of their duties either on or off campus; for this reason work hours are flexible. In order to allow interaction with our students, however, faculty members are normally expected to be available on campus to students for discussions and advising. In addition, they are expected to attend most Department/Group/GSBPP meetings, meetings of assigned committees, and graduation ceremonies. They must inform their Department/Group Chair (or GSBPP Dean) of any significant amounts of time spent off-campus during normal working hours. If off-campus time is determined to be 25% or more, a "telework agreement" must be established and approved by the Provost upon request with recommendation of the Department/Group Chair (or GSBPP Dean) and the appropriate Dean. The Human Resources Office is available to provide information on establishing a telework agreement.

Because of student interactions, committee work, and other professional responsibilities, faculty members are expected to be resident at NPS while in pay status, except for sabbatical periods or periods of leave. If work is to be performed off-campus, it must be directly supportive of the faculty member's NPS responsibilities. There must be no detrimental effect on the faculty member's colleagues or students and the work must be documented in the faculty workload and evaluation process in the same manner as work performed on-campus. If reimbursable funding is involved, the sponsor must know of the plan to perform work elsewhere and must approve it.

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Meeting these conditions does not guarantee that off-campus work will be approved. There must be a strong justification, such as the availability of special facilities or the opportunity to work with professional colleagues. Extended periods of off-campus work must be approved by the Chair (or GSBPP Dean) and the appropriate Dean. If any research funds are involved, approval must also be obtained from the Dean of Research. This approval policy does not apply to off-campus work periods of thirty days or less that have been included in an approved research proposal; nor does it apply to occasional work performed at home. The policy is directed toward those unique situations, either planned or unanticipated, where a faculty member wishes to perform work off-campus over an extended period while in pay status.

ORIENTATION AND INDOCTRINATION

All new NPS employees are required to undertake an online orientation to government and NPS employment. This material is available from a link on the NPS Human Resources website. (Users must enter from an NPS computer.)

All new faculty members should participate in the NPS faculty orientation program. This program consists of familiarization briefings on various activities at the School, the structure and operation of DoD and the Navy, and potentially useful information for the new faculty member. These orientation programs are held every six months.

The Naval Postgraduate School occasionally arranges for indoctrination visits aboard Navy ships for faculty members. All civilian and military faculty are encouraged to participate in this program, especially those who have never been aboard a Navy ship. The purpose of these visits is to introduce faculty members to technical, tactical, and managerial problems associated with operating forces. This is expected to result in more relevant application in the academic environment at the Naval Postgraduate School.

POLITICAL ACTIVITIES

In 1939, Congress approved landmark legislation known as the Hatch Act which limits the political activities of federal employees. In passing the Hatch Act, Congress determined that partisan political activity by these employees must be limited for public institutions to function fairly and effectively. Through the years, various challenges to the Hatch Act have served to reaffirm this basic premise. In 1993, however, Congress made significant changes to the activities that can be engaged in by government employees. Detailed information on the provisions of the Hatch Act and its revisions are available in the Human Resources Office or in the Legal Office.

The following list contains examples of permissible political activities for covered employees.

- May register and vote as they choose
- May be candidates for public office in nonpartisan elections
© May assist in voter registration drives
© May express opinions about candidates and issues
© May make campaign speeches for candidates in partisan elections
© May contribute money to political organization or attend political fund raising functions
© May attend and be active at political rallies and meetings
© May join and be an active member of political clubs or parties
© May sign nominating petitions
© May campaign for or against referendum questions, constitutional amendments, municipal ordinances
© May campaign for or against candidates in partisan elections
© May distribute campaign literature in partisan elections
© May hold office in political clubs or parties and be delegates to party conventions

Among the prohibited activities are...

© May not be a candidate for public office in partisan elections
© May not use their official authority or influence to interfere with an election
© May not collect political contributions from government employees unless both the donor and the solicitor are members of the same federal labor organization or employee group and the one solicited is not a subordinate employee
© May not knowingly solicit or discourage the political activity of any person who has business with the agency
© May not engage in political activity while on duty, in any government office, while wearing an official uniform, or while using a government vehicle

Removing Government Property from NPS

From time to time faculty may wish to remove government-owned property from the NPS campus. This could be, for example, a computer to perform NPS duties at home or equipment for an off-campus experiment. Removal of such property requires that the faculty member have a “property pass”. These “property passes” are available from a member of your department’s staff. (Check with your Department Chair or GSBPP Dean’s Office or Administrative Support Assistant to see who issues the property passes in your department or the GSBPP.) Property passes may be issued for up to one year in duration. Also, Faculty may be required to return any equipment on short notice during an equipment inventory. Faculty are also responsible for the return of equipment upon separating from NPS. Campus Police are empowered to do spot checks of vehicles on or leaving the NPS campus. Property passes are required to be shown in government equipment is found in the vehicle. NAVPSCOLINST 4340.1 contains the details and requirements of the NPS property pass system.
RESEARCH AT NPS

General. The basic goals of the Naval Postgraduate School's research are:

- To create opportunities for individual faculty members to engage in original research directed toward advancing the frontiers of knowledge and application, thereby maintaining the currency of knowledge which is essential to the conduct of graduate education and the guidance of graduate thesis work;
- To enrich the instructional program by encouraging faculty members and associated students, through personal involvement, to become acquainted with the scientific and technological problems facing the national security community and with the key personnel responsible for the programs attacking these problems; and
- To perform research on defense-related problems that support the mission of the Department of the Navy, the Department of Defense, the Department of Homeland Security, and other national agencies. Working on these problems provides mutual benefit to the faculty member, to the students, to NPS, and to the research sponsor.

A strong faculty research program is a necessary and integral part of graduate education. As an institution whose prime mission is advanced education, it is essential that NPS should have a research program “to sustain academic excellence” by having faculty personally involved in the advancement of knowledge. (For the approved policy, see Section II of the document, Policy Regarding Appointment, Promotion, Salary and Tenure of Office of Civilian Members of the Faculty.

The individual faculty member, in initiating and prosecuting a research project, accepts not only a personal responsibility to the sponsor and NPS to conduct the agreed-upon research as effectively as possible, but also to strive for a project that is true research in the context of the stated goals and is not solely routine data-taking or testing. The probability that results will either be published in the professional journals or contribute to a significant improvement in DoN/DoD or other agency capabilities should be reasonably high.

To achieve appropriate momentum and progress in a research project, faculty members may be released from teaching during any academic year up to one-half time, during which their salaries are paid out of research funds. (Thesis or group project supervision is construed as teaching in this connection). Professionals of academic stature may be employed as non-tenure-track research faculty to assist the principal investigator.

Sponsored Research Program Proposals. NPS policies on Sponsored Program activities at NPS can be found at the NPS Research and Sponsored Programs Office web site.

To solicit external support for a sponsored project, a faculty investigator submits an official proposal to a potential sponsor over the signature of the Dean of Research (acting “by direction” for the President). More information on the proposal format and budget page formats are available from the NPS Research and Sponsored Programs Office web site.
The head of the academic unit (i.e., the Department, Group, GSBPP, or Institute) first reviews the proposal and determines if the content of the program is compatible with the goals of the academic unit, if the scheduled faculty release time is acceptable, and if the necessary academic-unit services and facilities are available to the program. After resolving any issues, the head of the academic unit endorses the proposal, if it is acceptable, and forwards it to the appropriate Dean and the Research Program Supervisor who review the proposal. The proposal is then sent to the Dean of Research for final approval and mailing to the sponsor.

If the proposal is accepted by the sponsor, all project funds are accepted by the Comptroller in the name of the NPS President. Final approval for any obligation against the funds of a sponsored research project is dependent upon the nature of the obligation, but, consistent with the individual responsibility assumed by the faculty member in proposing and accepting the project, no one other than that faculty member, as principal investigator (or a designated individual [or individuals]), may initiate any obligations against the project funds. Obligations cannot occur on a project unless an “Approved Expenditure Control Page” has been approved by the Director, Research and Sponsored Programs Office, and returned to the Principal Investigator. The Comptroller, the Research and Sponsored Programs Office, the Sponsored Project Financial Analysts (SPFAs), and the Deans provide assistance to the faculty investigator in the management of project funds within the framework of Naval Postgraduate School policies.

Faculty members may be retained during their intersession period to work on approved sponsored research projects, if their salaries are paid out of project funds. Other supporting personnel may be employed as necessary to assist faculty and any thesis students associated with the project. Arrangements for scheduling and executing supporting labor activities must be made through the Department Chair and the appropriate Dean.

NPS Institutionally Funded Research (NIFR) Program funds for meritorious work are available. These funds are used to help new faculty initiate research projects (described in the next section) or to provide support for post-doctoral programs, technology transfer activities, and research infrastructure. A limited amount of funds are also available for new research initiatives by established faculty members. The Associate Provost/Dean of Research annually issues guidelines describing the investment strategy that will be followed in allocating each year’s NIFR funds. The minimum expected output from a NIFR project is a technical report describing the results of the research.

**The Research Initiation Program.** The Research Initiation Program (RIP program) is that part of the NPS Institutionally Funded Research (NIFR) program used to provide support for new tenure-track faculty who are initiating research programs at NPS. This support is to enable them to conduct their research to a stage which would establish the merits of the program and to demonstrate its potential in a manner that could attract the support of a potential sponsor. The minimum expected output from a RIP project is a technical report describing the results of the research.

SABBATICALS

The basic policy regarding sabbaticals is found in Section 15 of the *Policy Regarding Appointment, Promotion, Salary and Tenure Of Office Of Civilian Members of the Faculty*. (Note that sabbaticals are not considered “leave”, but are a flexible assignment away from the NPS campus.) The following policies and procedures are an amplification and implementation of the basic policy.
The purpose of a sabbatical is for a faculty member to have a period of professional rejuvenation. Experience shows that the sabbatical is most effective if the person is physically away from the home institution and the local area, and NPS encourages this type of sabbatical.

Only tenured faculty are eligible for sabbaticals. There is no fixed period before a faculty member is eligible for a sabbatical or that must occur between sabbaticals. In general, the minimum time interval may be expected to approximate the traditional six years; but it may be shorter. The anticipated professional benefit from the sabbatical is more important than timing.

To integrate sabbaticals into the fiscal-year planning cycle at both the Departmental and School levels, applications for the next fiscal year will be considered once a year, with applications due on 1 April (nominally). Applicants will be informed of approval or disapproval by 15 May. Any faculty member wishing to be considered for a sabbatical should make written application on a form available from the Office of the Provost.

The application should describe fully the professional benefit to be derived from the sabbatical, activities planned during any annual leave periods, any anticipated financial arrangements, and an itinerary. The cognizant Department/Group Chair (or GSBPP Dean) and Dean append comments and recommendations to the application.

Applications are evaluated by a Sabbatical Leave Advisory Committee composed of faculty members appointed by the Provost. This Committee prepares a written appraisal of the professional benefit that may be expected from the proposed sabbatical leave and ranks the proposals. These are forwarded to the Provost (via the appropriate Dean) along with a priority ranking of all applications which are favorably recommended by the Committee.

The primary criterion for granting sabbatical leave is the demonstrated potential for the enhancement of the value of the faculty member to the educational program of the Naval Postgraduate School through advancement of his/her capabilities as a scholar. Representative plans for a sabbatical leave might include such things as preparation to teach in a new academic area, scholarly research and investigation, the writing of scholarly materials, formal study of new developments in one's area of specialization, familiarization with DoD activities, or study and research in the company of scholars at other institutions. In all cases, the period is to be a means of broadening one's intellectual horizons rather than a continuation of current activities.

Sabbaticals must be scheduled to minimize the disruption to the faculty schedule. Sabbatical periods should match, as closely as possible, the quarterly academic calendar at NPS. This is so that the faculty member will be available for a full quarter of work at NPS before beginning a sabbatical and after ending a sabbatical. Once a sabbatical is approved, faculty members must meet their Chair (or GSBPP Dean) to schedule the year's activities and to identify the intersession period and sources of funding.

Sabbaticals include five months at full pay (i.e., one-half of an academic year); NPS does not provide any other funding for sabbaticals. A faculty member on sabbatical is expected to devote time and efforts primarily to the planned purpose of that sabbatical. No additional compensation from any source may be received during the paid portion of the sabbatical leave. (This would constitute a salary or supplementation of salary as compensation for the performance of the member's government service [18 U.S. Code 209].) Faculty members are encouraged to take full-year sabbaticals; shorter sabbaticals should be in integer multiples of one quarter. Funding for any remaining time beyond the five-months supplied by NPS is the individual's responsibility. Combinations of annual leave, research support, or other reimbursable support can be used to extend the sabbatical period (e.g., annual leave could extend a five-month sabbatical to six months). NPS direct support cannot be used to extend a sabbatical. Any use of research funds requires the consent of the sponsor. The
Dean of Research approves any requests to use Direct-Funded Research (DFR) funds; the project sponsor approves the use of reimbursable-research funds either when expressly stated in the approved proposal or in a separate communication to the Dean of Research. Funding arrangements with non-NPS entities requires notification to your Department/Group Chair (or GSBPP Dean) via the forms used for Outside Employment and Consulting.

It is NPS policy that faculty are personally responsible for travel undertaken while receiving sabbatical pay, including travel to and from the sabbatical location. If, while at a sabbatical location, a faculty member must undertake travel related to a sponsored research project, then the travel may be taken using research funds, but the travel must occur during a period when the faculty member's salary is being paid by the same research project. Scheduling of such periods is accomplished by a cooperative effort of the faculty member, the faculty member's Department/Group Chair (or Dean of the GSBPP), and the Research Office. Such periods of off-campus research will not be counted as part of the five-month, full-pay sabbatical periods (but faculty on sabbatical still need to return shortly before the start of an NPS academic quarter).

Faculty members completing a sabbatical leave submit a written report describing sabbatical activities to the appropriate Dean (via the Department/Group Chair). After acceptance of the report, faculty members completing a sabbatical leave receive one merit pay step in the following annual merit pay considerations. Otherwise, Faculty members on sabbatical are considered for pay increments, promotions, and tenure in the usual way.

During the academic quarter after return from sabbatical leave, a faculty member should report to colleagues on scholarly activities during that period. In this way, the diverse benefits of many sabbaticals may help enrich the scholarship of the entire faculty.

A faculty member who accepts sabbatical leave assumes a moral obligation to continue their service at the Naval Postgraduate School for a two-year period following return from such leave.

SECURITY

Security of information (including computer security) and its physical control are the direct and personal responsibility of every person in the Department of Defense. The Naval Postgraduate School Security Guide and the NPS Information Assurance policy describe the responsibilities and procedures for the School's Information Security Program. They are considered part of the required reading for all faculty members. Faculty members with an SCI (Secure Compartmented Information) clearance have more requirements imposed on them. Check with the Special Security Officer (SSO) for details.

Publishing Unclassified Material. The School and the Navy recognize the need for academic freedom to publish and encourages faculty members to disseminate the results of their work, subject to compliance with applicable directives. It is the policy of NPS that individual faculty members be responsible for certifying that all unclassified material prepared for dissemination is in compliance with applicable directives. SECNAV-INST 5720.44A requires that material relating to a number of subjects be submitted through the Office of the Chief of Naval Operations to the Assistant Secretary of Defense (Public Affairs) for security review and approval for release. Prior to disseminating unclassified material, faculty are responsible for obtaining informa-
tion on currently applicable directives and certifying compliance therewith. Instructions on current procedures are available from the Security Manager’s Office.

Clearances. Faculty are eligible for security clearance when actively engaged in:

- Teaching a classified course
- Conducting classified research
- Advising classified theses
- Performing mission-essential duties that require access to classified material

Non-U.S. citizens are not eligible for a security clearance. Questions regarding security clearance procedures should be referred to the NPS Security Manager (Code 043).

Classified Materials. 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 Postgraduate School Security Guide.

Visitors. Visits to NPS by professional colleagues to speak and lecture are encouraged. However, there are certain restrictions that apply.

- Visits to NPS by citizens of hostile countries, for any reason, require prior approval from higher authority. Informal invitation is not authorized. Consult with your Department Chair (or your GSBPP Dean) and the Security Manager before issuing any invitation to visit NPS.
- Visits to NPS by other foreign nationals are authorized after notifying the Security Manager.
- Discussions with visitors must be conducted at an unclassified level and may contain only information that is in the public domain.

Reporting International Contacts. Faculty at NPS are required to report all contacts that meet the following specifications to Security Manager or the Naval Criminal Investigative Service by memo or phone:

- Any unofficial contact with a member of any foreign diplomatic establishment.
- Any recurring contact with any non-U.S. citizen in which financial ties are established.
- Any contacts that try to obtain access to classified or sensitive material or involving subversive activities or terrorism.

Faculty with access to classified material are required to report all foreign travel. Faculty with access to sensitive (SCI) information are covered by separate reporting requirements. The Special Security Officer provides guidance for these individuals.
STANDARDS OF ATTIRE

Faculty are encouraged to maintain a neat, professional appearance, especially when in class or instructional laboratories or when meeting with outside visitors.

STUDENT/FACULTY RELATIONS

A hallmark of the NPS experience is the close professional relationships that develop between students and faculty. There are no graduate teaching assistants at NPS; faculty work directly with students in the classroom, the laboratories, and on thesis and project work. Interactions between students and faculty outside of the classroom are encouraged. However, faculty have the power to affect the future careers of their students favorably or adversely. Because of the need to avoid the appearance of favoritism and to avoid exploitation and harassment of students, it is necessary to avoid unduly familiar relationships, such as:

- Dating, cohabitation, and intimate or sexual relations between faculty and student, or
- Private business partnerships.

Penalties for civilian faculty can range from counseling, letters of caution or reprimand, suspensions, and maybe dismissal. Depending on the severity of the situation, penalties for military faculty members are administered under the Uniform Code of Military Justice (UCMJ). More information may be found in NPSINST_5730.2A.

TRAFFIC REGULATIONS

Parking and traffic regulation are given in NPSINST_55605C. They are summarized below.

- Persons operating motor vehicles on NPS property must register their vehicles with the Security Police and have a current vehicle Station Pass affixed. To receive the Station Pass, all vehicles must carry a minimum of $15,000/$30,000 public liability insurance and $5,000 property damage insurance.
- The maximum speed on NPS property is 20 mph unless otherwise posted. Speed limits are radar enforced.
- The operation of vehicles on NPS property is in conformance with the regulations of the California Motor Vehicle Code. Special restrictions regarding operation of motorcycles and scooters are contained in NPS Instruction 1020.1 (series), including completion of a motorcycle driving safety course offered periodically. All bicycle riders are required to wear safety helmets.
- Cell phone use while driving on campus or in housing areas is prohibited.
• Faculty are eligible for parking permits. Questions of eligibility are handled by the Office of Academic Planning in the Provost's Office. Parking assignments and regulations are explained to all personnel when they register their vehicles with the Security Police. Carpooling is strongly encouraged. In addition to conserving energy, it allows NPS to provide preferential parking spots to members of carpools.

• All vehicular and pedestrian traffic, whether military or civilian, comes to a complete stop for the duration of Morning Colors (0800) and Evening Colors (Sunset).

Questions on traffic and parking may be addressed to the NPS Security Police.

TRAVEL

The Naval Postgraduate School encourages faculty professional travel which has clear potential value to the School and has been duly approved by the Department Chair (or the GSBPP Dean). Reasons may include:

- improvement of curricula and courses
- conducting research
- recruiting of faculty or staff
- familiarization visits to Navy installations and discussion of Navy problems
- advancement of professional proficiency and reputation of the faculty.

The last purpose is served, for example, by presentation of a scholarly paper at a professional society meeting or conference and by participation in the affairs of a professional society via officership or membership on an official committee of the Society.

The NPS Travel Office web site provides information about official travel. It should be consulted for more explicit details associated with travel. Further information about travel can be found in NPSINST4650.4F.

Payment for travel services is usually through the government credit card held by the traveler. (See the Travel card link for more detailed information about the government credit card.) Gifts of travel (e.g., plane tickets for officers in a professional society to attend meetings) are covered by special reporting rules. See the NPS Travel Office web site for information.

Travel arrangements at NPS are done through the web-based Defense Travel System (DTS). Training sessions for users are held periodically. (See the NPS Travel Office web site for information and schedule.) The NPS Travel web site, your Administrative Support Assistant (ASA), or Department/Group Chair (or your GSBPP Dean) can answer many of your questions.

When making travel arrangements that includes government lodging, the traveler needs to specify a “GS equivalence” for his/her academic rank. The following table lists equivalences. (This table is for travel purposes only!)
<table>
<thead>
<tr>
<th>Academic Rank</th>
<th>GS Equivalence for travel</th>
</tr>
</thead>
<tbody>
<tr>
<td>Non-tenure track faculty (all ranks)</td>
<td>GS-12</td>
</tr>
<tr>
<td>Assistant Professor</td>
<td>GS-13</td>
</tr>
<tr>
<td>Associate professor</td>
<td>GS-14</td>
</tr>
<tr>
<td>Professor</td>
<td>GS-15</td>
</tr>
</tbody>
</table>

It is the Department of the Navy and NPS policy that official travel shall be limited to that necessary to carry out the mission of this command effectively and efficiently. Travel meeting these criteria must be performed by the most economical means available by the minimum number of personnel for the minimum time consistent with the requirement of the mission.

Travel funds are public monies and are limited. Their judicious utilization and conservation is a responsibility of each faculty member and each Department/Group Chair (or the GSBPP Dean). To maximize the total professional benefits from the funds available for travel, the following precepts govern faculty travel:

- commercial air travel must be by tourist class (First-class travel is specifically prohibited except in very rare cases. Prior approval is required.)
- utilization of military aircraft is recommended where practicable
- limitation of a trip to the sensible minimum time required to accomplish the purposes of the trip
- consolidation of trips, where feasible
- use of BOQ facilities whenever available and practicably located
- where there exists a choice of meetings at which to present a paper or to serve some other appropriate purpose, favoring the geographically closer meeting (if no appreciable loss of benefit to the Naval Postgraduate School is incurred).

As a general rule, annual leave taken while on official travel should not exceed the number of work days associated with the travel.

Travel arrangements for faculty candidates and new-hired faculty coming to NPS are handled through the Office of the Provost.

Foreign Travel. Since NPS Faculty are representatives of the US government when they travel and since foreign governments need to be aware of US government representatives within their borders, foreign travel of NPS Faculty has special requirements. These requirements also apply to contractor personnel traveling under DoD sponsorship. The following is a summary of the requirements. The DoD Foreign Clearance Guide is the governing document for entry requirements for each country. Foreign travel for the government can be complicated; seek guidance from your Department office staff or the NPS Travel Office as early as possible for your foreign travel!!

Entry Clearance. The NPS Travel Office will assist the traveler to obtain entry clearance, based on information provided by the traveler. Early notification is required in order to meet deadlines. There are three types of entry clearances:
• Country Clearance. Country clearances are the most common type of clearances for faculty. A country clearance may be required for either official travel or unofficial travel (e.g., entering a country while on a leave portion of an official trip).

• Special Area Clearance. Certain countries have been identified as “special areas”. Special clearance approvals are required for entry into these countries.

• Theater Clearance. Visits to overseas military activities require clearance from the applicable military unified Commander (e.g., PACOM, CENTCOM, etc.)

**Contractor Personnel.** While the NPS is responsible for ensuring the individuals have the necessary travel clearance, the individuals are responsible for obtaining passports and visas.

**Individual Force Protection Plan (IFFP).** An IFFP is required for civilian personnel on official foreign travel and for all military personnel for both official and unofficial travel. Requirements for the IFFP vary by country and area being visited (e.g., some areas require a “buddy” [or two-person] rule). Help is available from the NPS Security Manager’s office. Note that the entry clearance must be received before applying for approval of the IFFP, so allow adequate lead time. NAVPGSCOLINST 4650.1 includes the IFFP form as enclosure (1).

**Security Manager.** Travelers need to notify the NPS Security Manager of any foreign travel not less than 30 days before travel. Information on foreign travel is available at the NPS Security Manager (Code 043) website.

Start working on the process as soon as you think the travel might be a possibility.

**URINALYSIS SCREENING/TESTING**

Faculty holding security clearances of “Top Secret” or above are subject to random, mandatory urinalysis testing. Selected faculty will be called by an HRO representative on the day of the testing with guidance on where to report and when. Strict procedures are followed to ensure fair sampling and to maintain a chain of custody throughout the collection and evaluation process. More information is available from the Human Resources Office (HRO).

**WORKING WITH NON-GOVERNMENT ORGANIZATIONS (NGOs)**

NPS has the statutory authority to work with activities outside of the federal government. The two mechanisms for doing so are through a Cooperative Research and Development Agreement (CRADA) or a Technical Service Agreement (TSA). If NGO funding is to be provided to NPS, the appropriate agreement must be executed prior to the commencement of the activity. The CRADA delineates the responsibilities of the partners and address the intellectual property issues relating to patents, copyrights, and licenses. The TSA is used for certain services provided to a NGO and in cases where there is no discovery (research) being performed.
NPS can also loan equipment to a NGO or receive equipment on a loan basis from a NGO. This activity is covered by a Limited Purpose CRADA.

All of these agreements are drafted by the Research and Sponsored Programs Office, in consultation with the faculty member. Further information is available from the Research and Sponsored Programs Office.

VISITS BY DISTINGUISHED PERSONS

Each year many distinguished individuals visit the NPS campus. The office of the NPS President needs to be informed of such visits to ensure maximum impact from such visits and to coordinate schedules. Examples of distinguished persons include:

- Flag or general officers
- Senior Executive Service (SES) employees
- Titled positions (e.g., Service Secretary, Assistant Service Secretary, Deputy Assistant Secretary)
- High-ranking military officers or civilian employees holding major command or project/program sponsor positions
- US Senators, members of Congress, and principal staff members to a member of Congress or a congressional Committee
- Influential non-US government officials, such as state and local government officials, community leaders, high-ranking corporate officials
- Senior, prestigious academicians
- Foreign officials of similar positions, and
- Others as designated by the NPS President.

Generally, if you have any questions about eligibility of a visitor, you should consult the NPS Protocol Office, Code 003.

Notification of visits by distinguished visitors need to be emailed to the Protocol Office (Code 003) with copies to the Flag Lieutenant (Code 001) and the Security manager (Code 261). The Protocol Officer will coordinate the schedule for distinguished visitors to NPS.

Faculty may be asked to serve as the “Action Officer” for the visit in order to develop the itinerary, to arrange transportation and accommodations, and to propose scheduled events, as well as

- act as the principal point of contact with the visitor or their office staff
- obtain and provide a biography of the visitor for posting in the NPS events calendar
- arrange for reserved parking
• meet and brief the visitor on the visit arrangements and itinerary and to escort the visitor during the visit
• handle other details of the visit (e.g., arranging for the handling of classified material through the Security Manager’s office).

Visitor Information Sheet. The Action Officer needs to provide a Visitor Information Sheet to the Protocol Officer at least 5 days in advance of the visit. The format of this sheet is provided in NAVPGCOLINST 5050.2F as enclosure (3).

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SECTION VI - SCHOOL PROCEDURES

ACADEMIC CERTIFICATE PROGRAMS

An "Academic Certificate" program is a coherent sequence of courses that is sufficient to master a well-defined body of knowledge or technical expertise at a level beyond the baccalaureate. An Academic Certificate may be issued only by the Registrar and shall be recorded on the NPS transcript. Academic Certificates are the only certificates to be recorded on the NPS transcript.

An Academic Certificate program must include at least 12 credit hours of work, 9 of which must be at the graduate level, and all of which must be NPS courses. Courses in an Academic Certificate may be applied to a degree at NPS; there is no bar on "double counting" for degree purposes. Courses may not be double counted for multiple certificates.

Students admitted to an Academic Certificate program must meet the general admissions requirements for NPS and any prerequisites for the courses in the certificate program. An Academic Certificate program must be completed within 3 years of admission to the program. A student must maintain a 3.0 GQPR in the certificate courses to be awarded a certificate.

All Academic Certificate programs must be approved by the Academic Council.

Proposals for new Academic Certificate programs must include a list of required courses and rationale for offering the certificate. Proposals must be submitted to the Academic Council six months in advance of the anticipated date of first student's completion of the new certificate program. Proposals for new Academic Certificate programs shall describe how the program accords with recognized standards and best practices (for example, the "Good Practices for Electronically Offered Degree and Certificate Program" promulgated by the Regional Accreditation Commissions). In particular, a proposed Academic Certificate program shall describe the learning outcomes for the certificate, and the manner in which the outcomes constitute a coherent and self-contained body of knowledge.

A proposal for an electronically offered Academic Certificate shall include an evaluation strategy for sustained, evidence-based and participatory inquiry to assess whether the program is achieving its objectives and for continual improvement. The strategy shall include provisions for:

- Documented assessment of student achievement by comparing student performance to intended learning outcomes,
- Measures to determine overall program effectiveness,
- Evaluation in the context of the regular evaluation of all academic programs.
Proposals for an Academic Certificate must be endorsed by the appropriate department chairs (or Chairs of an interdisciplinary Curriculum Committee appointed by the Provost) and Deans for appropriate content and for supportability, especially with respect to funds, space and facilities, and faculty availability.

CLASS SCHEDULES

The Naval Postgraduate School operates under a quarter system, with each term of instruction lasting 12 weeks. The last week of each quarter is set aside for examinations. In addition, there are two two-week recesses during the academic year, one over Christmas and one during June-July.

Classes are scheduled from 0700 through 1750. The Class Scheduler, under the Director of Academic Administration, is responsible for developing the schedule for each quarter from the student programs, within the limitations imposed by facilities. The responsibilities of the Class Scheduler, the Department and Group Chairs (or the GSBPP Dean), and the Program Officers in the scheduling process are set forth in NPSINST 5010.3.

Because of the complexity of composing workable schedules, requests for special scheduling consideration in the development of class schedules are entertained only in circumstances justifiable on the basis of direct benefits to NPS. Requests are entered in the Python scheduling system by the faculty. (The requests should state the basis for the requested exceptions.) The Department/Group Chair (or GSBPP Dean) reviews the requests and submits a list of approved requests to the Scheduler in the Office of the Associate Provost for Academic Affairs. The requests should state the basis for the requested exceptions. While the Scheduler will make every effort to meet special scheduling requests, they cannot be guaranteed.

Once the class schedule for a quarter is published, changes in the published schedule will be considered only for specific and pertinent reasons which include: resolution of hour or room conflict, provision of a more adequate classroom or laboratory, correction of radical imbalances in class sizes, or change of instructor assignment to scheduled courses to provide better instruction or to consolidate faculty schedules. Other alterations in published schedules for faculty and/or student convenience are discouraged.

All requested changes in the published schedule are to be communicated directly in writing to the Class Scheduler by the Department/Group Chair concerned (or the GSBPP Dean). When time is of the essence, the change requests may be made by the Chair/Dean by phone with subsequent confirmation in writing. Requests justified on basis other than those specifically mentioned above will be referred by the Scheduler to the Associate Provost for Academic Affairs for approval.
DEGREES

While the NPS President is empowered by Congress to grant degrees, the Academic Council makes the degree recommendations to the President. The membership of the Academic Council is described elsewhere. The Policy Manual for the Academic Council describes the policies and procedures of the Council.

Nominations for degrees are initiated by the Program Officer and reviewed and endorsed by the Academic Associate, the Department/Group Chair, and the Academic Council.

In some cases a program may be interdisciplinary in nature and result in an interdisciplinary degree. In that case the Provost may appoint an Academic Curriculum Committee to oversee the development and health of the program. The Chair of the Academic Curriculum Committee reviews and endorses the nomination for degrees instead of a Department/Group Chair (or GSBPP Dean).

DISTANCE-LEARNING PROGRAM

NPS supports a variety of delivery methods that expand learning beyond the traditional classroom: online web-based technologies, outreach programs, and video tele-education.

Online web-based technologies. The Office of Continuous Learning (OCL) assists faculty to coordinate and administer innovative and cost-effective efforts to identify, package and deliver the intellectual capital of NPS to the Navy and DoD decision-makers and other component personnel who are not able to attend NPS on a full-time residential basis. OCL supports the various NPS academic schools, research and education centers in their efforts to expand their outreach well beyond the population of residential graduate students. OCL assists the academic departments at NPS to design web-based online course content. This varies from supplementing residential courses to fully online courses accessible via the Internet. Further information about this program is available from the Office of Continuous Learning.

Outreach Programs. As a part of its overall distance learning strategy, NPS, through the Office of Continuous Learning, established outreach offices in San Diego, Norfolk, and the National Capitol Region. These offices help facilitate the distribution of graduate education to the fleet and assist with delivering accredited graduate education to the vast number of Navy personnel in fleet concentration areas who will not be able to attend NPS in residence. The Outreach offices maintain liaisons with all Navy commands in the area, ensuring feedback on the programs being offered, as well as identifying future trends. The offices establish relations with other universities in the area, seeking synergy and economy in the delivery of graduate education.

Video tele-education. NPS currently supports seven MS degree programs and one PhD program through Video Tele-Education (two-way videoconferencing). Officers and civilians from the Navy, other services, and other DoD agencies eligible for one of these programs can take some or all of their coursework in facilities located at their place of work (as well as performing their thesis work there).
FINAL EXAMINATIONS

Final examinations may be given only during the twelfth week of each quarter. Final examinations are not to be given at any other time, as this disrupts learning in other courses that the officer-student is taking. Examination Schedules are prepared and distributed by the Class Scheduler. To facilitate common examinations for students in different segments of the same course, the Examination Schedule provides a common examination period, or contiguous examination periods, for all segments of the same course. If a final exam will not be given in a course, the Instructor needs to enter that information into PYTHON as a special scheduling request for the Scheduler.

GRADING SYSTEM

Students' performances are evaluated on the basis of a quality point number assigned to each letter grade achieved in a course. Faculty are required to submit grades via Python during the grading period after each quarter. Late grades must be submitted to the Registrar's Office by hand.

The Academic Council has established the following grading system at NPS:

<table>
<thead>
<tr>
<th>Performance</th>
<th>Grade</th>
<th>Quality point value</th>
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<tbody>
<tr>
<td>Excellent</td>
<td>A</td>
<td>4.0</td>
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<td></td>
<td>A–</td>
<td>3.7</td>
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</table>

Courses may be designated for Pass/Fail grading when requested by the academic Department/Group and approved by the Academic Council. This designation has been applied to seminar courses, etc. Additionally, a student may elect to take a course in the P/F mode if approval is granted by both his/her Program Officer and
the appropriate Department/Group Chair (or the GSBPP Dean). The P/F option is allowed only for courses which are not required to satisfy degree or curriculum requirements. However, hours earned by the grade “P” are counted toward fulfilling course hours specified by the degree requirements.

A grade of Incomplete (I), if not removed within twelve weeks following the end of quarter for which it was received, will be replaced by the Failing grade (X). Exceptions must be individually approved by the Academic Council.

When the quarter hour value of a course is multiplied by the quality point number of the student's grade, a quality point value for the student's works in that course is obtained. The sum of the quality points for all courses divided by the quarter hour value of all courses gives a weighted numerical evaluation of the student's performance, termed the Quality Point Rating (QPR). Quality point ratings may be computed for all courses taken at NPS or for just the graduate-level courses (“graduate QPR” or GQPR).

A student may repeat a course for the purpose of improving the student's grade when the grade received originally was either “D” or “X”, provided such course repetition is taken at the Naval Postgraduate School. Approval must be granted by both the Program Officer and the Department Chair (or GSBPP Dean) of the student's curriculum. For record purposes, both the original and the repeated course are shown on the transcript. For QPR computation the credit hours of the course are counted once, and the quality points earned are the average of the two.

INDEPENDENCE OF STUDENT WORK

Student work (and faculty guidance) is subject to an Academic Honor Code.

All work submitted by a student for a grade in any course shall be the work of that student alone, unless prior explicit permission has been given by the instructor to do otherwise. It is the instructor's responsibility to establish and clarify the ground rules that apply to all graded exercises, including homework, projects, lab reports, papers and examinations. If any doubt exists concerning the degree of independence of student work that is expected, it should be assumed that the work is to be independent and it is the responsibility of the student to resolve the question prior to undertaking the work. The primary objective of this shared responsibility between instructor and student is to prevent misunderstandings.

If an instructor suspects that a violation has occurred, the instructor may wish to discuss this with the student(s) involved, require reexamination, or take other appropriate measures designed to prevent any future violations. If the instructor feels there is substantive evidence that a violation has occurred, the instructor is advised to discuss the circumstances and evidence with the Department/Group Chair (or GSBPP Dean). In cases where the evidence seems conclusive to the instructor and Chair/GBPP Dean, the matter will be brought to the attention of the appropriate Program Officer for further investigation and possible action. The grade assigned in the course is the prerogative of the instructor; however, the instructor should apply grade penalties only for confirmed violations.
PYTHON ONLINE REGISTRATION SYSTEM

NPS uses the PYTHON online registration system to administer course offerings, class scheduling, faculty teaching assignments, textbook requirements, special scheduling requests, grading, and recordkeeping. Faculty can go online (using their NPS login name and password from any NPS computer) to interact with the PYTHON system. The Administrative Support Assistant in your Department/Group/GBBPP/Institute office can answer most questions about the PYTHON system.

QUESTIONNAIRES AND SURVEYS

Any surveys or testing of groups, other than that associated directly with concurrent courses in the educational program of the students, must be approved jointly by the Associate Provost for Academic Affairs, the Dean of Students, and the NPS Institution Review Board (contact through the Dean of Research).

Requests for approval of such group testing should be accompanied by:

- sample copies of the tests or questionnaires;
- statement of the purpose of the testing;
- description of the proposed uses of the testing data, a statement of the proposed schedule of the tests, identification of the student and/or faculty group affected, and responsibility for administration of the test; and
- proposed custodianship of the testing data, together with description of measures to protect privileged or sensitive information.

All other group-testing, either newly proposed or proposed for continuation, must be submitted for approval in accordance with the above procedure.

REPORTING OF REGISTRATION AND GRADES

The procedure for faculty reporting of registration, changes in registration, grades, and changes in grades, are described in NPSINST 1520. Everything but a change of grade is handled within the NPS PYTHON online course administration tool.

Although no school guidelines have been stated for grading practices, some criteria for valid grade changes have been set forth in NPSINST 1520 to provide consistent practices by all instructors and fair and equal treatment for all students. The procedures for, and time devoted to, preparation and submission of course grades should allow opportunity for impartial judgment of the marks assigned. The judgment completed before the submission of the grades should be done with sufficient care so as to be defensible and not subject to later appeal on grounds of misjudgment. Consequently, reasons for changes in grades should be submitted only for reasons from the following categories:
• Arithmetic errors in calculating grades. The discovery of a computation error in determining grades should lead to recomputation of all grades in the class to double-check the grade calculations and grade assignments.

• Clerical errors. Typically this may be an error in transcribing grades from one list to another.

• Make-up of Incomplete. The grade of Incomplete ("I") may be assigned if a significant, identifiable part of the course has not been completed. The make-up work should be judged with the same standards as used for the regular quarter's work. This request must be submitted to the Registrar's Office within twelve weeks following the end of the quarter for which the grades were given.

SHORT-COURSE PROGRAM

In addition to curricular programs, the Naval Postgraduate School conducts short-course programs for offering graduate-level material to Navy officers and DoD employees. These short courses are for information only; they are not graded and do not carry any academic credit.

Short Courses can be funded either with NPS funding, tuition payments, or reimbursable funding.

Short courses can be supported with funds from a sponsor (or multiple sponsors) or by tuition (registration fee) payment. A proposal must be submitted for each short course delivered. Instructions for preparing proposals for development and delivery of short courses are available from the NPS Research and Sponsored Programs Office.

SMOKING AND BEVERAGES IN CLASSROOMS AND LABORATORIES

Navy Regulations prohibit smoking at any time in any of the School buildings or laboratories.

Smoking is not permitted, of course, in any area where flammable materials are being used, or in the vicinity of stored flammable materials.

Beverages in classrooms and laboratories are prohibited by School Regulations. Many classrooms are carpeted and have upholstered furniture. The limited janitorial services are unable to cope with overturned coffee cups, sticky soft drinks, etc.
STUDENT COMMENT ON INSTRUCTION

Student comment on the effectiveness of each faculty member's instruction is obtained in part by means of the Student Opinion Form (SOF), which is uniformly administered at the end of each regular course.

SOFs are accomplished toward the end of the quarter through the NPS PYTHON online course management system and in a manner designed to ensure a response from each of the students and to preserve the anonymity of each student.

Responsibility for the content of the questionnaires rests with the Faculty Scholarship Committee. Administrative control is exercised through the Associate Provost for Academic Affairs' Office.

For each class, only numerical data summaries are forwarded to the Department/Group Chair (or GSBPP Dean), who uses them to evaluate the instructional competence of the Department, Group, or GSBPP faculty, respectively. Original forms with comments are available (only) to the instructor in PYTHON. The Department/Group Chair (or GSBPP Dean) utilizes the summary information to assist in discharging the Chair's/GBSPP Dean's responsibilities for improvement of instruction. The Chair/Dean consider the summary data, or any part thereof, as privileged information. In addition, the Associate Provost for Academic Affairs can provide to the Group Chairs numerical summaries of SOF data of faculty members who are members of academic departments when those faculty have taught courses that are the responsibility of the Group. The Department/Group Chair (or GSBPP Dean) adds numerical summaries of SOF data for every course taught by a faculty member to that faculty member's documentation when he/she is a candidate for promotion and/or tenure. These summaries are made available to the members of the candidate's Department Evaluation Committee (DEC), the Department Faculty Promotion Council (DFPC), the Faculty Promotion Council (FPC), the Deans Promotion Council (DPC), and the President. Release of SOF data to other parties will not be made without the consent of the faculty member concerned.

Student comment-on-instruction questionnaires – properly structured, properly solicited, and properly used – have proven to be a substantial contribution toward the general improvement of instruction at the Naval Postgraduate School.

WEB PAGES

Faculty are allowed to initiate and maintain web pages for official purposes, directly related to the NPS mission of graduate education (including research). However, web pages serving as official NPS pages are required to follow guidelines and requirements published in NPSINST 5230.1D. This instruction identifies the roles of various functionaries and the requirements for NPS web sites (e.g., the Public Affairs Officer [PAO] needs to approve all material available to the public on NPS web sites).

Some of the features of NPS web sites include:

- Disclaimers and official warning notices regarding access to government computers must be incorporated into the web site.
• Security requires that all web servers need to be identified to the NPS IT organization and accredited and approved for hosting.

• NPS has approved templates (webhelp) for high-level web pages officially representing NPS,

• Sensitive information, such as privacy-protected information or limited distribution published materials, requires password protection and encrypted transmission.

• Classified postings require special approval and access; check with the NPS Security Manager for information and approval.

In all cases it is recommended that the faculty member contact ITACS before going public with his/her website. Faculty are also eligible to serve on the NPS Web Committee that recommends web policy and format.

All IT services are provided free of charge to faculty members and students engaged in official School work. The computers cannot be used for private consulting work.

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SECTION VII. FACULTY BENEFIT PROGRAMS

The specific provisions of the following Federal employee benefit programs can be found on the Department of Navy "Employee Benefits Information System (EBIS)" website at www.donhr.navy.mil. The following summaries are for general information only. Faculty members should contact the "Benefits Line" at 1-800-320-2917 or go to the EBIS website if they need updated and specific information. In addition, the Faculty Retirement, Insurance, and Special Functions Committee continually reviews programs which affect the faculty.

FEDERAL EMPLOYEES' GROUP LIFE INSURANCE

Faculty members, except under temporary appointment, may participate in the Federal Employees' Group Life Insurance (FEGLI) Program. The program provides term insurance in a basic amount, roughly equivalent to a faculty member's salary, and additional optional insurance in varying amounts, which may be an additional $10,000 and/or some multiple of one through five of the basic salary, and/or optional family coverage, whichever is elected. Basic life insurance and the $10,000 additional option include double indemnity for accidental death and payment for accidental loss of one or more limbs or eyesight. The cost of the optional additional insurance is based on the employee's current age. The employing agency contributes one-third of the cost of basic insurance; employees pay the whole cost of optional insurance. Contact the Benefits Line (1-800-320-2917) about the current costs of the basic and optional insurance. Faculty who are on Leave Without Pay status (e.g., an unpaid intersession) are responsible for making payments during this period. Deductions will be automatically made after returning to Pay status or, alternatively, the faculty member may make alternative arrangements with the Timekeeping Division of the Comptroller's Office before going on Leave Without Pay.

After retirement, and upon the retiree's sixty-fifth birthday, members may retain at least one-quarter of the value of their 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.

HOSPITALIZATION AND MEDICAL EXPENSE INSURANCE

Provision is made for the participation of members and their families in the Federal Employee's Health Benefits Program. Two types of plans are available: Government-wide plans, under contract between the Office of Personnel Management and several insurance providers, and employee organization plans, available to members who have signed contracts for coverage with various health insurance providers. 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 (with the Government contributions not to exceed 75 percent of the total enrollment costs). Faculty who are on Leave Without Pay status (e.g., an unpaid intersession) are responsible for making pay-
ments during this period. Deductions will be automatically made after returning to Pay status or, alternatively, the faculty member may make alternative arrangements with the Timekeeping Division of the Comptroller's Office before going on Leave Without Pay.

The provisions of the different insurance carriers vary in detail and the plan which best fits the needs of the individual and his family should be selected. Enrollment is optional and can be canceled at any time since coverage is voluntary. Applications for group coverage are received by the carriers only on first employment or during the “open season” periods set by OPM (usually once a year, starting about the middle of November). Members with temporary appointments of a year or less are not eligible for participation. 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. This is an important consideration when planning for retirement.

Insurance terminates after 365 days in a non-pay status.

INJURY COMPENSATION AND MEDICAL CARE

The Federal Employees' Compensation Act is administered by the Office of Workers' Compensation of the U.S. Department of Labor. The Act provides benefits to Federal employees for continuation of pay for traumatic injuries, compensation 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 30 days, or if the supervisor does not have actual knowledge of the injury. Forms CA-1 (traumatic injury) and CA-2 (occupational disease) are provided for giving written notice. These provisions do not apply to dependents of Federal civilian employees. and are available at http://www.cnrs.navy.mil/hrorcnrs/injury.htm.

LEAVE

Members of the civilian faculty earn annual leave while they are in a pay status, the number of days depending upon their years of service. In addition, they earn 13 days of sick leave each year. The amounts earned are reduced proportionately for any part of the year a member is in a non-pay status. The law granting these types of leave is administered by the Office of Personnel Management (OPM) and members of the civilian faculty are governed by the OPM's regulations applying to the associated benefits. Consult the Human Resources Office for information.

The Federal Civil Service status of the civilian faculty of the Postgraduate School causes less flexibility in the faculty member's use of the Christmas and June recess period and of the “tenth month” intersessional period.
of his/her academic year than that existing in civilian universities. Civil Service Regulations recognize only two possible types of employee status: (a) work status or (b) leave status (annual, sick, holiday, military, administrative, court, or leave without pay). This means that a faculty member must be in one or the other status during the periods such as the Christmas or June recess or the intersessional period. During time in periods of this sort, when faculty members are not in leave status, they are therefore required to be engaged in, or available for, work for the School. Some faculty members customarily spend such non-leave time on research, professional writing, course writing, or similar scholarly activities with the concurrence of their Department/Group Chair (or GSBPP Dean). Other faculty members may be designated by their Department/Group Chair (or GSBPP Dean) to undertake other necessary tasks for the Department/Group or the School, such as preparation of laboratories and apparatus for the quarter, teaching of refresher courses, Department/Group/School administrative work, etc. Faculty members who do not expect to be available for non-teaching duties during these periods must submit leave requests for the days of nonavailability.

Civil Service Regulations require that each faculty member must be provided an opportunity during any calendar year to take the annual leave earned during that year. Such leave may not be taken only during an unpaid intersessional period, and the period when it is taken is subject to the approval of the Department/Group Chair (or GSBPP Dean) or Institute Director. There are two-week breaks in June/July and December. Faculty members may take annual leave during these periods; otherwise, normal work attendance is expected.

Civilian faculty members may be granted annual leave for emergency reasons at any time. Faculty members should notify their Chair (or GSBPP Dean) as soon as possible about the circumstances requiring emergency annual leave. Except in cases of emergency, civilian faculty members may not be granted extended leave during the academic session when such leave would interfere with the academic schedule.

MEDICARE

Medicare, the program to provide medical insurance to the elderly, consists of two parts: Part A, which provides hospitalization, and Part B, medical benefits. Part A is funded by Social Security taxes and is available to anyone receiving Social Security benefits without additional payment of premiums; Part B requires individual election and payment of a premium. Social Security withholdings include a 1.3% contribution to the hospitalization insurance. Although Federal employees 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. A withholding of 1.3% of basic pay up to the maximum taxable base set by Congress is made from the salaries of these employees.

MILITARY LEAVE

Civilian faculty members participating in a reserve program of the Armed Forces are expected to arrange to take their annual training duty during their intersessional period, if possible. In those cases where training can be performed only during the academic session, the faculty member should secure approval for military leave in advance of entering into a training duty commitment. The leave application should be forwarded to the
appropriate Dean via the cognizant Department/Group Chair. (GSBPP faculty submit their request directly to the GSBPP Dean.) All reservists of the Armed Forces or members of the National Guard except temporary, intermittent, and part-time employees, are entitled to leave of absence from duties, without loss of pay for not more than 15 days in any calendar year, for active duty or for training.

RETIREMENT PROGRAM

Faculty members employed under appointments of more than one year beginning prior to 1 January 1984 participate in the Civil Service Retirement Systems (CSRS). Faculty members first hired to appointments of more than one year on or after 1 January 1984 are covered under the newer retirement system, the Federal Employees' Retirement System (FERS). The Thrift Savings Plan (TSP), a Federal 401K, is available for employees participating in both CSRS and FERS. Both systems provide retirement and disability benefits for the member and survivor benefits for the member's family. Active duty military time is creditable toward eligibility for retirement under certain circumstances. Specific details on an individual's retirement can be obtained from the Benefits Line (1-800-320-2917) and EBIS.

Under both the CSRS and FERS retirement systems, the annuity is reduced if (a) the member's civilian service includes service for which no retirement deductions were deposited, (b) the member withdrew his/her contributions to the retirement fund after terminating a past period of federal service and has not made a re-deposit, or (c) the member elects a survivor annuity. A member may withdraw his/her contributions to the fund if employment in the Civil Service is terminated for a period of at least 31 days and if he/she is not eligible for retirement at the time of separation. A member of the Retirement Fund is guaranteed a return from the fund which is at least equal to his/her contributions. However, no interest is paid on these refunded contributions.

Faculty planning retirement should contact the Benefits Line (1-800-320-2917) to request to be assigned a Retirement counselor no later than six months before retirement to establish completeness of records of Federal service (including military service) and an estimate of retirement benefits. This six-month lead time allows for obtaining needed records, documentation of previous pay (if relevant), and arrangement for payment of any deposits necessary to allow full credit. The NPS Human Resources Offices sponsors occasional on-campus retirement seminars. Early attendance is strongly suggested for any faculty member considering retirement.

SOCIAL SECURITY

Faculty members covered by the Federal Employees' Retirement Systems (FERS) or serving in certain types of Federal appointments (i.e., limited to one year or less, intermittent employees) pay the full cost of Social Security. Those members covered by the Civil Service Retirement Systems (CSRS) pay the 1.3% Medicare tax (see earlier section on Medicare) in addition to contributions to the CSRS.
SECTION VIII – SCHOOL FACILITIES

ACADEMIC FACILITIES

Library. The Dudley Knox Library's collections and services are maintained by the following organizational units: Reader Services, Research Reports, Acquisitions, Bibliographic Control, and Systems. The functions and scope of each are briefly described below:

- **Reader Services (Open Literature).** The Reader Services Division is the public-service unit within the Library which supports students and faculty by providing access to unclassified library resources in hard copy, electronic databases, and microfilm. These resources include books, journals, abstract literature, newspapers, electronic databases, and U.S. Government Printing Office publications, the latter received by virtue of the Library's depository status. It also provides reference assistance including online literature searches and bibliographic instruction, manages circulation of library materials including course reserve items, maintains current and bound journals, processes interlibrary loans, and controls microfiche and microfilm files and equipment. Readers Services also conducts library tours, manages student photocopiers, and the Library's group study rooms.

- **Research Reports and Classified Materials (Classified and Unclassified Research Documents).** This unit is the Library's repository for classified (Secret, Confidential) and unclassified documents received in hard copy and microform. It provides bibliographic access to all hard copy reports held by the division. It also provides access to the technical reports database of the Defense Technical Information Center (DTIC) and various products on CD-ROM, and it houses a classified word processing facility.

- **Acquisitions. (Collection Acquisitions).** This unit orders and receives Library materials in all formats, working closely with Library staff and Library Liaison Officers from the Library Council.

- **Bibliographic Control.** This unit supports instructional and research programs of NPS by cataloging, classifying, and processing all types of informational materials, in a variety of formats, to be entered into BOSUN, the Library's online catalog, and to be made available to Library users. Materials include NPS theses and reports as well as a wide range of materials from other sources.

- **Systems (Library Automation).** The Systems Office manages new technology for automating the Library's collections and services. BOSUN (Bibliographic Online System Utilis Nautis), the Library's online catalog for open literature, is one major responsibility of this unit. Another system, STILAS (Science and Technology Information Library Automated System), is soon to be introduced for online access to the Library's classified documents collection.

Library cards are issued to faculty members at the Library circulation desk once they have received their identification cards. Questions regarding Library usage should be referred to the Reference Librarian.
Computing Services. The Computing Service organization supports a broad range of computing and information services on a variety of server systems attached to the campus backbone network. The organization maintains clusters of network-connected workstations in the other academic buildings. Some are arranged as electronic classrooms with 25 to 35 identical computers, either PCs, Macintoshes or HP workstations. Others contain SUN workstations and IBM graphics terminals which are intended for individual use by students and faculty. The organization also provides high-speed gateways to global networks.

All of the services and facilities are described in a handout, *Introduction to Computing Services* available in Ingersoll 146, Consulting Office. This room also contains copies of all of the Computing Services publications, newsletters, etc., and reference sets of manuals and other documentation of available operating systems and major software packages.

OTHER ACADEMIC FACILITIES.

The evolution of the instruction and research programs of the Naval Postgraduate School has resulted in a number of special facilities, most of which are used in support of both instruction and research programs. Some of these facilities are listed below.

- Anechoic Acoustic Chambers
- CAD/CAE Facility
- Flash X-Ray Facility
- Human Factors Engineering Laboratory
- Hybrid Computer and Simulation Laboratory
- Laser, Electro-optic, and Fiber Optic Laboratories
- Learning Resource Centers (instructional computer facilities)
- Metals Creep Laboratory
- Microprocessor Laboratories
- Ocean Acoustic Wave Facilities
- Radar and EW Laboratory
- Secure Computing Facility
- Cryptologic Research Laboratory
- Ship Electric Power Laboratory
- VLSI Design Facility
- Wargaming Facility

PERSONAL SERVICE FACILITIES

Commissioned Officers and Faculty Club. The use of all of the social and recreational facilities of the Commissioned Officers and Faculty Club is extended to civilian members of the faculty. There is no club membership fee. The Club's facilities include the main dining room, cocktail lounges, and several rooms available for private parties on a reservation basis.
**Bookstore.** The Navy Exchange Bookstore (located in the main Exchange building) offers a complete range of textbooks, magazines/periodicals, computer software, and personal office supplies (e.g., pens, pencils, etc.). Faculty civilians are eligible to use only this portion of the Navy Exchange.

**Food Services.** The Commissioned Officers' and Faculty Club provides cafeteria service for breakfast and lunch from Monday through Friday. A coffee and light-meal facility is located near the Library parking lot, and in the Navy Exchange complex.

**Post Office.** A branch of the U.S. Post Office is located just inside the Del Monte Avenue gate. It is open from 0930 to 1530 Monday through Friday.

**Navy Exchange Facilities.** Civilian faculty members and their dependents are not allowed to use Navy Exchange facilities unless this privilege is based on prior or present military service or family members in the service. Exceptions to this rule are for the Bookstore and eating facilities operated by the Navy Exchange.

**RECREATION FACILITIES**

The Naval Postgraduate School's Monterey Pines 18-hole golf course is available to faculty members upon payment of greens fees or a monthly membership fee. A driving range and putting green are also located on the golf course site.

Other physical recreation facilities include a gymnasium (requiring a nominal membership fee) with exercise equipment, basketball court, racquetball, a softball field, tennis courts, and picnic grounds.

The Recreation Office, located near the Quarterdeck of Hermann Hall, has current folders and maps for the many camping areas, motels, and recreational and entertainment facilities in California. Civilian faculty members may obtain recreation passes for the use of all recreation facilities for themselves and their immediate dependents from this Office.
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APPENDIX A

POLICY REGARDING APPOINTMENT, PROMOTION, SALARY, AND TENURE OF OFFICE OF THE CIVILIAN MEMBERS OF THE FACULTY

(Approved by Secretary of Navy - 1989)

(Of ten called the “Pink Book” at NPS)
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POLICY REGARDING APPOINTMENT, PROMOTION, SALARY, and TENURE of OFFICE of the CIVILIAN MEMBERS of the FACULTY
This revised Policy Regarding Appointment, Promotion, Salary and Tenure of Office of the Civilian Members of the Faculty at the Naval Postgraduate School has been approved by the Secretary of the Navy. The effective date of the revised Policy regarding Civilian Members of the Faculty is 1 November 1989.

The Faculty Salary Schedule is published separately and revised as changes occur.

s/  
HARRISON SHULL  
Proost and  
Academic Dean

s/  
R.W. WEST, JR.  
RADM, U.S. Navy  
Superintendent
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POLICY REGARDING
APPOINTMENT, PROMOTION, SALARY, AND TENURE OF OFFICE
of the
CIVILIAN MEMBERS OF THE FACULTY
at the
NAVAL POSTGRADUATE SCHOOL

1. Scope. This policy statement applies to all civilian members of the faculty of the Naval Postgraduate School, Monterey, California.

2. Status of Civilian Members of the faculty. Civilian members of the faculty are appointed by the Superintendent, Naval Postgraduate School in the excepted service, which is authorized by Title 5, Section 213.3108 B and Title 10, Section 7044 of the U. S. Code. Under Schedule A excepted appointment, members of the faculty are covered by the Office of Personnel Management Regulations, which apply to veterans' preference, performance ratings, annual and sick leave, health, retirement, and insurance benefits.

3. Faculty Salary Schedule. The salary for the civilian members of the faculty is determined by the Secretary of the Navy as authorized by Section 7044, Title 10, U. S. Code, and is promulgated by the Office of Civilian Personnel Management (SECNAVINST 12534.1A, 11 May 1988). The faculty salary schedule is modified on a comparative basis with changes authorized by the Congress for federal employees paid under the Classification Act. The term “Academic Rank” refers to the academic grade (Professor, Associate Professor, etc.) of an individual; and the term “Step” refers to the salary level within the category (Step 27, 28, etc.).

4. Academic Session. Faculty of the Naval Postgraduate School have a year-round responsibility to maintain professional proficiency, cognizance of the needs of the Navy with regard to postgraduate education, and a maximum usefulness in fulfilling the mission of the School. The academic session is, however, of ten months' duration, in accord with usual academic practice. The Superintendent shall specify the ten-months academic session for each faculty member. During this period the faculty member is in a duty status, employed in tasks assigned by the Superintendent, except when absent on approved earned annual or sick leave, leave without pay, sabbatical leave, or approved consulting activity. A portion of the faculty, as determined by the Superintendent to be essential, may be employed in teaching classes or other
occupations related to the instruction of students during the remaining two months of each calendar year (Intersessional Period). Other faculty members who are to be employed in the next academic session will be retained during these two months on the rolls in a nonpay status. They will be free during that time to pursue study, research, other professional developments, or other occupations compatible with their status as faculty members of the Naval Postgraduate School.

5. Appointment. Initial appointment to the faculty will be made upon recommendation of the Academic Dean after discussion with the Department Chairman or other appropriate administrative officer and approval by the Superintendent.

   a. Primary Criteria. In evaluating the record and potential of candidates for appointment, the following criteria will receive primary consideration:

      (1) Professional Competence, as evidenced by the candidate's educational record, by scholarly activities such as publications, research, and papers presented at professional meetings, and by reputation among peers in the field of specialization.

      (2) Teaching Ability, as evidenced by recommendations from former supervisors.

      (3) Personal Attributes, such as initiative, cooperation, and breadth of intellectual interests.

   b. Special Criteria. Appointments to the several ranks will be based on the following specific qualifications:

      (1) Instructor. Appointment to the rank of Instructor will require a master's degree, or other appropriate preparation for the performance of assigned responsibilities.

      (2) Assistant Professor. Possession of a doctor's degree or the equivalent professional experience; high standards of scholarship; promise of growth and development in the candidate's professional field.

      (3) Associate Professor. Possession of the doctor's degree or the equivalent professional experience; definite record of scholarship and growth; superior personal traits; and at least five years of significant teaching and research experience at the college level, or equivalent professional service.
(4) **Professor.** Possession of a doctor's degree or the equivalent professional experience; superior teaching ability; unquestioned evidence of high professional qualifications including professional publications; superior personal traits; and at least six years experience in the rank of Associate Professor in accredited institutions of higher learning or equivalent professional service.

(5) **Chair, Associate or Assistant Dean.** The Superintendent is authorized to designate, with the advice and recommendation of the Academic Dean, members of the civilian faculty to serve as representatives of the Superintendent and the Academic Dean in the administrative positions of Chair, Associate Dean, or Assistant Dean.

(6) **Academic Dean.** Section 7043 of 10 U.S. Code, as amended by Public Law 89-536 of 11 August 1966 and Public Law 96-513 of 12 December 1980, authorizes the civilian position of Academic Dean. Appointments to this position are made by the Secretary of the Navy on the basis of recommendation by the Postgraduate School Council. The Academic Dean is selected from candidates whose previous association with educational institutions or programs has demonstrated a high caliber of prestige on a national scale.

(7) **Distinguished Visiting Professor.** The Superintendent is authorized to employ Distinguished Visiting Professors who shall be eminent scholars on a national or international scale selected because of prominence in their fields of academic specialization. The function of a Distinguished Visiting Professor is essentially one of bringing to the Postgraduate School advice and expertise, through consultation, lectures and/or teaching assignments, from the highest academic levels in specific fields of learning. Accordingly, Distinguished Visiting Professors are appointed for a period not to exceed one year. A subsequent appointment of one year may be granted if the Superintendent believes such an appointment will be of advantage to the Postgraduate School. The number of Distinguished Visiting Professors shall not exceed two at any one time.

(8) **Adjunct Professor.** The Superintendent is authorized to employ faculty members on a temporary appointment. Such appointees must possess the necessary qualifications for appointment as instructor, assistant, associate, or full professor. They will be appointed for definite periods and will be differentiated from the regular faculty appointments by the title Adjunct Professor. Adjunct Professors are paid using the same pay scales as an instructor, assistant, associate, or full professor, as appropriate.
c. **Exceptions.** Criteria for appointment or promotion may be waived in unusual circumstances when, in the opinion of the Superintendent, doing so would operate to the distinct advantage of the Naval Postgraduate School.

6. **Salary.** The salary of a civilian member of the faculty is determined by the Superintendent in accordance with the faculty salary schedule cited in Section 3. Recommendations for salary increase are submitted at the same time and in the same manner as recommendations for promotion cited in Section 7a.

   a. **Appointment.** Initial appointments of faculty members will be in an academic rank at a step as determined by the Superintendent.

   b. **Promotion.** With every promotion to another pay category on the Faculty Schedule, a civilian member of the faculty shall receive a salary increase equivalent to at least one pay step.

   c. **Merit Step Increases.** Step increases for each civilian member of the faculty within a salary category will be based on the criteria in paragraph 7a together with the length of service in academic rank and the guidelines in NAVPGSCOLINST 12534.1 and 12430.3. Civilian members of the faculty may receive none, one, or two steps at the discretion of the Superintendent. Faculty members whose performance has been rated as outstanding by their Department Chairman and approved by the Provost may, at the discretion of the Superintendent, be granted salary increases of three or four steps. The number of three or four step increases shall not exceed, in any one year, 5% of the total of the civilian members of the faculty.

   d. **Intersessional Pay.** Those civilian members of the faculty required by the Superintendent to perform academic duties during all or part of the two-months intersessional period will be paid additional compensation based on their ten-month salary rate.

   e. **Chair, Associate or Assistant Dean.** Civilian members of the faculty who are appointed to positions of Chair, Associate or Assistant Dean will be paid at a salary step in the Administrative Faculty Salary category, as determined by the Superintendent. The step selected shall not exceed by more than three steps the salary step at which the faculty member was paid in the Professor or lower academic rank. When the appointment as Chair, Associate or Assistant Dean is terminated the faculty member will revert to the salary step that would have been reached had there not been service in an administrative capacity.

7. **Reappointment, Promotion and Tenure.** The initial appointment of all Federal Civil Service employees encompasses a one-year probationary period. This is applicable to the civilian members of the faculty at the Naval Postgraduate School. The Postgraduate School will accept a maximum of three years of prior experience as
a full-time teaching faculty member in an accredited collegiate institution in the consideration of individual
tenure-track faculty members for promotion and tenure. The Postgraduate School may consider other signifi-
cant professional experience in lieu of teaching experience in making promotions and in granting tenure.
Additional limitations on appointment and reappointment of civilian members of the faculty are outlined
below.

a. Promotion. The term “promotion” refers to a change in academic rank. In addition to the criteria be-
below, promotion requires that a faculty member have a performance rating of record of “Fully Successful” or
above. Promotion proceedings will occur annually. Promotions are made upon recommendation of the Aca-
demic Dean after consideration of the candidates by the Department, Faculty Promotion Council, and the
Dean’s Council, and approval by the Superintendent. The Promotion proceedings consider two general cate-
gories of performance:

  **Internal Service** - that faculty activity which contributes to supporting the high quality of the
School's academic environment, and

  **External Service** - that faculty activity which enhances the School's contributions especially to
the DON, but also to the DOD and/or the Academic Community.

In evaluating the record and potential of candidates for promotion in the above categories, emphasis will be
placed on the following criteria:

  **Instructional Activity and Teaching Effectiveness** as evidenced by: the vitality of classroom
presentation, the thoroughness of preparation, demonstrated interest in students, capacity to impart knowl-
edge and understanding and to stimulate the intellectual curiosity and growth of the student, developing and
teaching courses (including short courses) with significant Navy content, development of other new course
materials, direction of student thesis research, and by producing instructional material for use outside of the
Naval Postgraduate School, and conducting off campus courses and instructional seminars.

  **Scholarly Activity** as evidenced by: research directed toward the development of new knowl-
edge, including efforts in areas related to DON/DOD, the application of knowledge to the solution of prob-
lems, including those of DON/DOD, by publication of significant new research results in peer-reviewed
scholarly journals, and by the preparation, editing or revision of text books and monographs which represent
major and significant new contributions in their areas or disciplines.
In addition, the following criteria will also be considered in judging a candidate's potential for promotion:

**DON/DOD Service**, as evidenced by: serving on DON/DOD boards and panels, providing consulting support to headquarters organizations and operational commands, and assistance to the Naval Postgraduate School organizations.

**Professional Service Activity**, as evidenced by: professional activities external to the Naval Postgraduate School such as: conference planning, committee work, offices in professional organizations, editorial work, refereeing or reviewing papers, book reviewing, lecturing and consulting work.

**Administrative Activity**, as evidenced by: service on faculty or administrative committees, on departmental committees and assignments, and by service in an administrative appointment such as academic associate, associate chair, or chair.

**Personal Attributes**, such as integrity, sense of public trust, industry, cooperation, initiative and breadth of intellectual interests.

In applying these criteria the determining factor for promotion to Associate Professor shall be possession of the qualifications necessary to achieve effective leadership in carrying out the mission of the Naval Postgraduate School. Promotion to Professor requires that the person demonstrate consistent leadership in at least one area of faculty activity, and have meritorious performance in both internal and external service in carrying out the mission of the Postgraduate School.

b. **Tenure.** The term “tenure” refers to appointment without a definite term of office. Except for possible termination due to a reduction-in-force or separation for cause (see section 8), a civilian faculty member with tenure may serve until retirement. The primary criteria for the granting of tenure are the same as those stated above for consideration for promotion. However, tenure is conferred in expectation of continuing significant contributions to future requirements of the Naval Postgraduate School. The award of tenure will be based on a continuing expected need for the particular capabilities of the faculty member and also the need to insure continued ability of the Naval Postgraduate School to recruit new faculty who can have a reasonable expectation of achieving tenure. Tenure will not be granted at any rank below that of Associate Professor. The granting of salary increases or promotions in rank shall not be interpreted to imply the intention of the Naval Postgraduate School to grant tenure to any faculty member. Note: Tenure as used in this policy statement refers to academic tenure; it does not encompass “status” as used in the competitive civil service.
c. Terms of Appointment. A new appointee to the faculty of the Naval Postgraduate School will normally be given a three-year appointment, the first year being a probationary period as referred to at the beginning of this section. At the end of the second year, the appointee will be considered for an extension of the term of appointment for an additional year. This will, thereafter, be repeated annually until the sum of his or her accepted prior experience and the length of the appointments at the Postgraduate School reaches seven years. If any appointment is not extended, then it will be understood to terminate upon completion of the stipulated term. Consideration for award of tenure will be given not later than the end of the sixth year of total experience (accepted prior experience plus experience at the Naval Postgraduate School). Final award of tenure occurs after seven years of total experience. A partial year's appointment does not count in the total years' service referred to in this paragraph. (See paragraph 8a.)

(1) Instructor. An Instructor may be considered for promotion to Assistant Professor at any time the requirements for appointment to that rank have been met.

(2) Assistant Professor. An Assistant Professor will be given first consideration for promotion to Associate Professor not later than the end of five years of total experience (accepted prior experience plus experience at the Naval Postgraduate School). An Assistant Professor promoted to Associate Professor may be considered for permanent tenure at that time.

(3) Associate Professor. An Associate Professor appointed from outside the School will be considered for tenure not later than the end of the sixth year of total experience (accepted prior experience plus experience at the Naval Postgraduate School). An Associate Professor will be given first consideration for promotion to Professor between the seventh and the tenth years of experience as Associate Professor (accepted prior experience plus experience at the Naval Postgraduate School). No time constraints apply for any subsequent consideration for promotion from Associate Professor. In exceptional cases warranted by unique and significant outstanding performance, an Associate Professor may be considered for promotion earlier at the discretion of the Academic Dean.

(4) Professor. A Professor appointed from outside the School will be considered for tenure not later than the end of the sixth year of total experience (accepted prior experience plus experience at the Naval Postgraduate School).
(5) Chair, Associate or Assistant Dean. A Chair, Associate Dean, or Assistant Dean is appointed for an initial term of not more than three years. At the expiration of his or her term, the individual may be reappointed for an additional term, or terms, of not more than five years or revert to faculty status.

(6) Academic Dean. The initial and subsequent appointments of the Academic Dean shall be for five years or less, as prescribed by law.

d. Military Service.

(1) Service of a faculty member on active duty in the Armed Forces of the United States subsequent to appointment at the Naval Postgraduate School will be counted year for year as service on the civilian faculty for the purpose of determining eligibility for advancement.

(2) A faculty member on active duty with the Armed Forces will, when eligible, be considered with other eligible candidates and may be selected for promotion. Promotion in absentia will be effective as of the date it would have been made notwithstanding the absence for military duty.

8. Termination.

a. Nonreappointment. If reappointment is not to be made, faculty members with more than two years of service at the Naval Postgraduate School will be given notice at least one year prior to the termination of the appointment; faculty members with less service will be given notice at least six months prior to the termination of the appointment. Notice of non-continuation beyond the probationary year will be given at least three months prior to the end of the year. Non reappointments of faculty members who are eligible for veterans' preference and have completed one year of continuous employment, including non reappointment to positions of Department Chair, Associate Dean, and Assistant Dean, will be made in compliance with the applicable procedures of Chapter 752 of the Federal Personnel Manual and appropriate sections of Navy Civilian Personnel Instruction 752.

b. Reduction in Force. A reduction in the instructional staff may be required by such reasons as a lack of federal funds, or change in mission, organization or workload. In such event, and where possible, every effort will be made to honor the conditions of non-reappointment as in (a) above.

c. Separation for Cause. Any member of the faculty may be separated for such cause as will promote the efficiency of the service. Such separation will be effected in accordance with the applicable civil service and Navy regulations.
b. **Resignation.** Civilian members of the faculty are expected to furnish the Superintendent at least six months notice of intention to resign.

9. **Effective Date of Promotions and Other Personnel Actions.** Tenure-track faculty promotions, reappointments, and salary increases will normally become effective on the first pay period after 1 July.

10. **Physical Examination.** Applicants for a position as a civilian member of the faculty may be asked to undergo a physical examination prior to acceptance for employment. Such an examination, if requested, would be for the purpose of ascertaining as nearly as possible that no health conditions exist which would prevent the proper discharge of the duties which are expected in employment or which would be a hazard to the applicant or others.

11. **Research and Professional Advancement.** Faculty members are encouraged to conduct research, write educational and professional articles and textbooks, and to attend and participate in conferences of learned societies. The primary objective, as well as the governing factor of such research and professional activity, must be the resulting enrichment and improvement of education at the Naval Postgraduate School. Valuable accomplishments of this nature shall be taken into account in recommendation for promotion.

12. **Leave, Health Benefits, Incentive Awards and Life Insurance.** Civilian members of the faculty are entitled to such benefits on the same basis as employees in the competitive civil service.

13. **Retirement.** Civilian members of the faculty hired after 1 January 1984 are covered by the Federal Employees Retirement System (except that those appointed for one year or less are covered only by the Social Security Act). Permanent faculty hired before that date are covered by either the Civil Service Retirement Act or the Federal Employees Retirement System depending on the member's chosen option. Standard Form 105, "Certificate of Membership", outlines the coverage and specific provisions of the retirement system and is issued to each member of the faculty at the time of appointment. More complete details concerning retirement are contained in Chapter 831 of the Federal Personnel Manual.

14. **Absence for Study and Research.** Special leave without pay for study and research may be granted at the discretion of the Superintendent to civilian members of the faculty when such leave would result in the improvement of education at the Naval Postgraduate School. The number of members of the professional staff to be granted special leave at any one time shall be so limited as to avoid interference with the regular work at the Naval Postgraduate School.
15. **Sabbatical Leave.** In recognition of the scholarly work accomplished by the Naval Postgraduate School, sabbatical leave for study and research may be granted to civilian members of the faculty by the Superintendent when such leave would result in the improvement of education at the Naval Postgraduate School. Unless otherwise specifically provided, such leave shall be granted at full pay for one-half the academic session. The number of members of the professional staff to be granted sabbaticals at any one time shall be so limited as to avoid interference with the regular work at the Naval Postgraduate School. A civilian member of the faculty who accepts such leave assumes an obligation to continue service at the Naval Postgraduate School for a two-year period following return from the sabbatical.

16. **Long-Term Training and Education Program for Civilian Employees.** Civilian members of the faculty are eligible for participation in the Navy Department program designed to provide Navy employees with opportunity for comprehensive training or education consistent with significant changes in their responsibilities. This long-term program provides tuition, travel, per diem, transportation of family and household effects and salary. Acceptance of this opportunity for training or education obligates the civilian member of the faculty to remain an employee for a period three times the length of the period of training or education.

17. **Consulting.** Faculty members of the Naval Postgraduate School may be permitted to engage in outside employment or professional activity that enhances their professional competence. Any outside activity must be limited in scope so as not to interfere with the full and energetic execution of the member's primary responsibility in meeting all assigned professorial duties. A faculty member, in accepting an agreement for extramural professional activity, does so as an addition to full-time employment by the School and not as a substitute for a portion of it. The outside work must not interfere with the efficient performance of the members' duties as employees of the Naval Postgraduate School. Applicable regulations governing outside employment of government employees apply, in particular, SECNAVINST 5370.2 (series) on "Standards of Conduct and Government Ethics". Local procedures will provide for the reporting and approval of such activity by the faculty member and limit the amount of outside employment a faculty member may engage in to no more than an average of one day per week when not in a leave status.
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