Faculty Governance Documents	Faculty Handbooks

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Faculty Handbook Naval Postgraduate School, Monterey California, August 24, 2016

Monterey, California. Naval Postgraduate School

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FACULTY HANDBOOK

Naval Postgraduate School
Monterey California

August 24, 2016

NPS MISSION

The mission of the Naval Postgraduate School is specified in Secretary of the Navy Instruction (SECNAVINST) 1524.2C:

> *Provide relevant and unique advanced education and research programs to increase the combat effectiveness of commissioned officers of the Naval Service to enhance the security of the United States. In support of the foregoing, and to sustain academic excellence, NPS and the DoN foster and encourage a program of relevant and meritorious research which both supports the needs of the Navy and the DoD while building the intellectual capital of the NPS faculty.*

PREFACE

This Faculty Handbook (FHB) sets forth information of interest to the faculty at the Naval Postgraduate School (NPS). It summarizes policies and procedures established through NPS Instructions and other authorities, and provides guidance where necessary. Requirements for degrees or descriptions of curricula are found in the policy manual of the academic council and in the school catalog. Other school instructions have been referenced and are duplicated only when essential. This FHB is cleared for public release with unlimited distribution. It supersedes all previous versions.

Please note that you must be logged in to the NPS network to gain access to many of the links in this handbook.

Ensuring that the Faculty Handbook reflects current guidance is a continuous process and so it will be revised as necessary.

James H. Newman, Ph. D.
Provost and Academic Dean, Acting
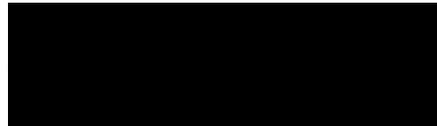
Ronald A. Route, VADM USN (Ret.)
President

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SECTION I – The Naval Postgraduate School

1.1 Mission

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1.2 Scope

The Faculty Handbook (FHB) contains guidance on matters affecting the faculty at the Naval Postgraduate School.   In the event the guidance in the FHB conflicts with an applicable law, rule, regulation or official higher level policy, the latter takes precedence.

1.3 Accreditation

As required by Title 10, NPS must be accredited. NPS is accredited by the Western Association of Schools and Colleges Senior College and University Commission (WSCUC). In addition, the Master of Science Degree Programs in Electrical Engineering, Mechanical Engineering, Astronautical Engineering and Systems Engineering are accredited by the Engineering Accreditation Commission of ABET (Accreditation Board for Engineering and Technology). Finally, the management programs are accredited by the Network of Schools of Public Policy, Affairs, and Administration (NASPAA), and by the Association to Advance Collegiate Schools of Business (AACSB).

1.4 Policy Documents

- Title 10 U.S. Code, Section 7041-7047 establishes the Naval Postgraduate School (NPS) and empowers the Secretary of the Navy to prescribe NPS policies. The authority for this document is the United States Congress.
- SECNAVINST 1524.2C establishes general policies concerning NPS. The authority for this document is the Secretary of the Navy (issued 27 OCTOBER, 2014).
- OPNAVINST 5450.210D defines the mission and functions of NPS. The authority for this document is the Chief of Naval Operations (issued 30 MARCH, 2012).
- DoD Instruction 1402.06 provides specific definitions regarding civilian faculty positions. The authority for this document is the Under Secretary of Defense for Personnel and Readiness (issued 6 NOVEMBER, 2007).

The governing authority for faculty policy matters is the Policy Regarding Appointment, Promotion, Salary and Tenure of Office of Civilian Members of the Faculty, hereinafter referred to as the Pink Book, current revision January 2015. The authority for this document is the Secretary of the Navy.

The Faculty Organization is described by the Faculty Bylaws. Additionally, the FHB is augmented by the Faculty Orientation Manual (FOM), currently in development by the Faculty as a collection of useful information for faculty.

1.5 Students

The Naval Postgraduate School student body consists primarily of U.S. Navy Officers, but also includes other U.S. military officers, U.S. Government civilian employees, a limited number of Department of Defense Contractors, 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 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 to 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.

The Navy has articulated its vision for educating the military force in its Naval Education Strategy 2025.

1.6 Revising the FHB

The Faculty Handbook summarizes and references policies established through the policy documents listed in Section 1.4. The FHB establishes additional policies and procedures for NPS faculty by authority of the NPS President. Revisions to the content of the Faculty Handbook shall be initiated by the Provost. Revisions shall be reviewed by the faculty. Faculty comments and recommendations shall be provided to the Provost by the Faculty Chair. After consideration of the faculty's input and approval by the Provost, the revised FHB shall be official policy after concurrence and promulgation by the President.

The Faculty Handbook is maintained on the website of the office of the Provost. Previous approved versions are maintained on the Faculty Council website.

SECTION II – School Structure

The organization of the Naval Postgraduate School (NPS) 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 in the paragraphs below. The official position descriptions (PDs) for all faculty positions may be found on the Academic Planning website. The NPS Organization Chart is published in the NPSINST 3120.1 series.

The President. The President of NPS, as established in Title 10, is the senior executive leader responsible for the execution of the NPS mission and the management of the organization and workforce. Either an active duty officer of the Navy or Marine Corps or a civilian who has the qualifications appropriate to the position of President, the President is selected by the Secretary of the Navy. The President is accountable to the Chief of Naval Operations (CNO) for the operations of NPS and, specifically, for Navy-funded graduate education within the Navy conducted at both the Naval Postgraduate School and civilian universities. The establishment of university policy stems from the authority of the NPS President.

The Provost and Academic Dean. The Provost and Academic Dean, as established in Title 10, also known as Provost, is the Chief Academic Officer of the School and is responsible to the President for all academic matters. In the absence of the President, the Provost acts on their behalf for those matters not related to the functions of the military chain of command. The Provost'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 is appointed by the Secretary of the Navy, after consulting with the NPS Board of Advisors and considering any recommendation of the leadership and faculty of the NPS.

Vice Provost for Academic Affairs. The Vice Provost Academic Affairs (VPAA) is responsible for oversight and coordination of NPS's graduate education and academic programs on behalf of the Provost. The VPAA provides educational strategy, academic policy, resourcing coordination, administrative oversight, operational coordination, program analysis, and education service support for NPS's graduate education and academic programs. The VPAA reports to the Provost.

Associate Provosts. Associate Provosts are senior civilian academic administrators at NPS. Associate Provosts are delegated a portion of the Provost's or VPAA's responsibilities for programs, personnel, policy, and/or administration. In their areas of responsibility, Associate Provosts are responsible for ensuring policies and procedures are in place to efficiently carry out academic administration and programs and they provide leadership

across the faculty, Schools, and campus, as well as provide significant off-campus service to the DoN and others. Associate Provosts report to the Provost or VPAA, as appropriate.

Director of Programs. The Director of Programs is responsible for the NPS Programs Office that supports educational effectiveness on campus at NPS, and at civilian universities attended by US Naval Officers via Navy-funded graduate education programs throughout the country. The Programs Office is within Academic Affairs. Within the Programs Office there are three functional areas, the Civilian Institutions Program (CIVINS), Navy Subspecialty Review, and NPS Educational Programs. The Director of CIVINS reports directly to the Director of Programs. The Director of Programs coordinates the Program Officers on all programmatic functions. The Director of Programs reports directly to the VPAA.

Deans of the Graduate Schools. The [Deans](#) are the senior academic administrators of the NPS Schools. They have executive authority over programs, personnel, facilities, policy, and budget in their areas of responsibility. Deans are responsible for ensuring policies and procedures are in place to efficiently carry out the academic and research programs. They provide leadership across the department, school, and campus, and as well provide significant off-campus service to the Department of the Navy (DoN) and others. The Deans report to the Provost.

Dean of Students. The Dean of Students (DoS) is responsible for student health, welfare, conduct and affairs related to discipline, academic standing, accountability and military administrative matters.   The DoS exercises disciplinary authority over US Navy students and oversees the disciplinary process of students from other services or nations and agencies as implemented by their Senior Service Representatives and/or the International Office. Through the Deputy Dean of Students (DDoS), DoS is responsible for maintaining military good order and discipline, which includes implementation and enforcement of the NPS Honor code for all students and administration of the Student Services Office. The DoS coordinates with the Program Officers in their leadership capacity over students. The DoS is a military officer assigned by the Navy. The DoS reports to the Provost on academic matters.

Dean of Research. The Dean of Research (DoR) is the senior academic administrator of research activities at NPS. The DoR administers the NPS research program and policies to support, promote and enhance the quality of research at NPS. The DoR is responsible for ensuring policies and procedures are in place to carry out NPS' research programs efficiently and consistent with NPS' mission. The DoR develops and enforces appropriate business practices at NPS that maintain efficient and effective conduct of research; and represents NPS research interests and capabilities to external sponsors and research stakeholders. The DoR provides leadership across campus, provides significant off-campus service to the DoN and others, and administers the organizational units that support the research enterprise. The DoR reports to the Provost.

University Librarian. The [University Librarian](#) is the chief administrative officer of the Dudley Knox Library responsible for formulating and implementing library information policies, programs, services, and associated technologies that support the Naval Postgraduate School on-campus and distributed instructional and research programs. The University Librarian articulates the Library's contributions to student learning, including collecting evidence, documenting success, communicating results and overseeing continuous improvements to library services and programs. The University Librarian provides expertise to the NPS programs, departments, schools, and campus level, and provides significant external services to DoN activities, DoD activities, and professional organizations. The University Librarian reports to the Provost.

Military Associate Deans. The Military Associate Deans are the senior military Representatives in their School and are the senior mentors for all military personnel within that School. Military Associate Deans are delegated a portion of the Dean's responsibilities for programs, personnel, policy, or administration. Military Associate Deans may contribute to the academic and research mission of the School by engaging in teaching, thesis advising, and research. Military Associate Deans serve as the primary advisors to their Deans on military matters. In their areas of responsibility, they provide leadership across the faculty, department, school, and campus, as well as provide significant off-campus service to the DoN and others. Military Associate Deans report to the school Dean on school and academic matters and to the Chief of Staff on military matters.

Associate Deans. [Associate Deans](#) are senior civilian academic administrators within a school at NPS. Associate Deans are delegated a portion of the Dean's responsibilities for programs, personnel, policy, or administration. In their areas of responsibility, Associate Deans are responsible for ensuring policies and procedures are in place to efficiently carry out academic and research programs and they provide leadership across the faculty, department, school, and campus, as well as provide significant off-campus service to the DoN and others. Associate Deans report to the school Dean.

Associate University Librarian. The [Associate University Librarian](#) is delegated a portion of the University Librarian's responsibilities for programs, personnel, policy, or administration and reports to the University Librarian. In her/his areas of responsibility, the Associate University Librarian is responsible for ensuring that policies and procedures are in place to efficiently support NPS academic and research programs. The Associate University Librarian provides leadership across the campus and provides off-campus service to the DoN and others.

Directors of Institutes and Centers. NPS has numerous research or education institutes and centers, typically headed by a [Director](#). These Directors administer the educational, personnel, financial, and research activities of their Institutes and Centers. They provide leadership across the program, department, school, and campus in a variety of roles pertaining to the operation and function of their Institutes and Centers, and may provide significant off-campus service to the DoN and others. They directly manage programs relat-

ed to research, executive education, and professional development at NPS. Directors of Institutes and Centers report to the Provost, Vice-Provost, Dean of Research or School Dean, as appropriate.

Directors of Academic Service Units. NPS has various centers, offices or units that provide academic services to the academic departments and programs. Directors of Academic Service Units administer the functional, personnel, and financial activities of their Units. They provide leadership across the program, department, school, and campus in a variety of roles pertaining to the operation and function of their Academic Service Units. Academic Service Units may provide developmental/education workshops and seminars and consultation or advice internal to NPS for the direct benefit of students and faculty. Directors of Academic Service Units report to the Provost, Vice Provost, or Dean of Research as appropriate.

Chairs of Academic Units. Academic Units are defined as the Academic Departments, Academic Groups, Centers, and Institutes, and include GSBPP, where the Chair's duties are the responsibility of the Dean. Chairs of Academic Units plan and administer the educational, personnel, and financial activities of their respective Academic Units. Chairs provide leadership across the program, department, school, and campus in a variety of roles, and significant off-campus service to the DoN and others. Chairs of Academic Units report to their School Dean.

Faculty Chair. The Faculty Chair is an elected member of the faculty. Duties as described in the Faculty Bylaws include presiding at meetings of the Faculty Council and Executive Board, transmitting Faculty Council proceedings requiring response to the President via the Provost, representing the faculty in a variety of forums, and performing other duties that may be assigned by the Faculty Council or Faculty Council Executive Board or requested by the Provost.

Program Officers. Program Officers are organizational positions unique to the Naval Postgraduate School. Program Officers work very closely with Academic Associates and the Director of Programs in developing, maintaining, and updating curricula to accommodate the needs and academic requirements of the Navy and the Department of Defense, as well as in monitoring the planning and progress of individual students through a program of study. Program Officers may also be appointed as Faculty members. The Program Officers exercise supervision and direction of students assigned to their programs. They perform requisite administrative duties pertaining to these students, oversee their performance, and counsel them on pertinent military and curriculum matters, as appropriate. Program Officers are typically military officers, but civilian faculty may also be assigned to this role. The Program Officers coordinate with and report to Academic Unit Chairs, the Director of Programs, the Dean of Students, and the School Deans in execution of their duties and for the overall operation of their respective programs.

Academic Associates. Academic Associates (AA) are responsible for all academic aspects of the curricula to which they are assigned and for the quality and integrity of the academic aspects of the curricula. The AA advises students in academic matters related to their curriculum. The role of AA is typically assigned to a civilian member of the faculty thoroughly familiar with the academic field of the curriculum as well as the needs of the curriculum sponsor. On occasion, Academic Associates may be military faculty members with an appropriate academic background. AAs work with the Program Officer as a team to ensure that their curricula are responsive to sponsor requirements. AAs are appointed by the Vice Provost, Academic Affairs upon recommendation of the School. AAs are responsible to their Academic Unit Chairs for the overall operation of their areas of responsibility.

SECTION III - NPS Governance

The mission of NPS can best be accomplished by engaging all its stakeholders. Calling upon the Faculty to participate in the governance of NPS is consistent with best practices in academia. While the general principles and responsibilities inherent to shared governance have been much discussed in the literature, nonetheless, the general consensus is that systems of shared governance in institutions of higher education provide real value to those institutions and their missions. Therefore, within the laws and regulations prescribed for NPS as a military and government institution of higher learning, there is room for the Faculty to contribute substantially to NPS governance when the Administration consults with the Deans, Chairs, and the faculty, through regular meetings and requests for input.

The following links are provided for reference to help frame the on-going discussion of how shared governance can provide the most value to NPS.

1) AAUP Foundation: Shared Governance

2) The Chronicle of Higher Education: Exactly What is "Shared Governance?"

3) Inside Higher Ed: "Shared or Divided Governance?"

The following two sections summarize the NPS external and internal governance organizations.

3.1 External Governance

3.1.1 Board of Advisors
The Board of Advisors ("the Board") to the Presidents of the Naval Postgraduate School and the Naval War College (NWC) is a panel of eminent authorities in the fields of academia, business, national defense and security, the defense industry, and research and analysis, chartered to provide independent advice to the Secretary of Defense through the Secretary of the Navy and other Navy Component Heads on matters pertaining to both institutions. The Board members are appointed by the Secretary of the Navy and approved by the Secretary of Defense. The Deputy Chief of Naval Operations for Manpower, Personnel, Training and Education (N1)/Chief of Naval Personnel (CNP), and the Commanding General, Training and Education Command, United States Marine Corps serve as ex-officio members of the Board. The Naval Postgraduate School Subcommittee is one of two permanent subcommittees and focuses on the Naval Postgraduate School exclusively. For more information, see the Board's website.

3.1.2 Advanced Education Review Board

The Advanced Education Review Board (AERB) is the Navy's forum to provide oversight of Navy education policy and programs, and the Navy's educational institutions (NPS, U.S. Naval Academy (USNA), and NWC). The AERB ensures that advanced education policy, programs, long-range goals and objectives, and resource investments are in keeping with Chief of Naval Operations (CNO) guidance and strategy. The AERB is chaired by the Vice Chief of Naval Operations (VCNO), as the Navy's Education Executive Agent.

3.2 Internal Governance

3.2.1 The Faculty of the Naval Postgraduate School

The Faculty Organization of the Naval Postgraduate School is referred to as the Faculty. As stated and detailed in the Faculty Bylaws:

> *The objectives of this organization will be to promote understanding and communication between members of the Faculty and members of the Administrative Staff, to protect and promote the professional stature of its members, and to assist the administration in accomplishing the mission of the Naval Postgraduate School.*

To this end, and as a participant in shared governance, the Faculty often functions in an advisory capacity to the President and the Provost on administrative or academic matters involving policy, regulations, procedures, or other concerns of interest to the faculty.

For the day-to-day business of NPS, faculty members are administratively organized according to School and Academic Unit. For purposes of representing the faculty in the process of shared governance, the faculty are organized as the Faculty of the Naval Postgraduate School. The faculty elect members to represent them in various capacities, to support effective communication between the Faculty Organization and the Administration in the interest of accomplishing the mission of NPS. Faculty are either Regular, Associate, or Ex Officio members of the Faculty, as defined in the Faculty Bylaws.

The Faculty Council promotes understanding and communication between members of the faculty and members of the administrative staff, to protect and promote the professional stature of the members, and to assist the administration in accomplishing the goals of the Naval Postgraduate School. The Faculty Council Executive Board (FCEB) is an eight member board consisting of the Faculty Chair, Faculty Chair Elect, past Faculty Chair, Secretary of the Faculty and four members of the Faculty Council drawn, through election, from the Faculty Council membership. The responsibilities of the FCEB are to provide for an Acting Faculty Chair to serve in the absence of the Faculty Chair; establish the agenda for Faculty Council Meetings; deal with all matters relating to the professional status of the Faculty as a group; and be cognizant of the activities of all Faculty standing

and temporary committees; and perform all other duties assigned to it by the Faculty Council.

3.2.2 The Faculty Standing Committees

There are five Faculty Standing Committees. Each has three members, serving staggered three-year terms, elected at the annual Faculty election in November. The longest-serving member serves as Chair. The standing committees are as follows:

- Professional Practices
- Scholarship
- Plans, Facilities, and Support Services
- Budget
- Nominating

The Faculty is governed by the NPS Faculty Bylaws, last modified May 8, 2014. A full expansion of this summary can be found therein.

3.2.3 Professional Practices Committee

The Professional Practices Committee (PPC) is a standing committee of the faculty. Its duties shall be to provide counsel and assistance to individual Faculty members and to the Administration, when requested, in matters relating to individual grievances and ethics. The committee, where necessary, will present the matter to the Executive Board for further consideration, but will not present such matters to the Council or Faculty unless directed to do so by the Executive Board. 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 Full Professors.

There may be cases where the Provost recommends an academic investigation be conducted after receiving a PPC final report. In such cases, the Provost conveys the PPC final report to the President. Any investigation to include a command investigation and an IG investigation must be initiated by the President in conformance with applicable laws and regulations.

3.2.4 Academic Council

The purpose of the Academic Council is to establish, monitor, review, certify, and advise on policies and procedures which will ensure high and consistent academic standards of graduate education throughout the Naval Postgraduate School.

The functions of the Academic Council include establishing scholastic standards, 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. 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 Vice Provost for Academic Affairs (as Executive Secretary), the Dean of Students, the Director of Programs, the Chair of the Faculty Scholarship Committee, and representatives from each of the Academic Units. The representatives from the Academic Units will be Regular Members of the Faculty, elected by the Academic Unit members.

The functioning of the Academic Council and all written academic policies are set forth in the Academic Council Policy Manual.

3.2.5 Research Board

The Research Board advises the Dean of Research. Board members represent their respective Academic Units. The Board reviews research policies and procedures and provides recommendations and guidance regarding the School's overall research programs to the Dean of Research. The Research Board consists of the Dean of Research (who serves as Chair), the Associate Dean of Research, the Director of the Research and Sponsored Programs Office, two Faculty Council Representatives, and faculty representatives from each Academic Unit. Board members typically serve for three-year terms.

3.2.6 Deans' Council

The Provost chairs the Deans' Council. The members of Deans' Council include the Deans of the four Schools as voting members. The Chair of the Faculty and the Chair of the Professional Practices Committee are non-voting members. The Deans' Council participates in the Promotion and Tenure process, as specified in the Pink Book.

3.2.7 Faculty Promotion Council
The Provost chairs the Faculty Promotion Council (FPC). The FPC includes the Chairs of the Academic Departments, and the Faculty Chair as voting members. For the purposes of Promotion and Tenure, GSBPP is allocated three voting members, where one is the Director of DRMI. The Chair of the Professional Practices Committee and the Deans of the four Schools are non-voting members. All voting members of the FPC shall be Full Professors. If necessary, substitutions will be made to fulfill this requirement. The Faculty Promotion Council participates significantly, as specified in the Pink Book, in the Promotion and Tenure process. The non-voting members are invited as observers, but may respond to requests for information.

SECTION IV - Faculty Appointments

NPS civilian faculty are government employees commonly known as Civil Servants. They are hired by the Department of the Navy into the Excepted Service on the Administratively Determined (AD) pay schedule. NPS civil service position descriptions describe the generic duties associated with each faculty position. At the time of appointment, and later as required, an AD addendum will be completed certifying that the duties and responsibilities of the individual are properly aligned with the faculty position description and the individual is eligible for an excepted-service appointment. In addition, it certifies that the position is considered a faculty position as defined in the Pink Book.

The faculty are involved in teaching, research, and service. To accomplish these activities, the Regular, Associate, and some of the Ex-officio Members of the Faculty are assigned to specific Academic Units. Each faculty member, except for the President and Provost, receives an appointment letter from the Provost, as approved by the President, specifying terms such as the position title, expected duties, and the term of appointment, as appropriate. Subsequent appointment letters will be issued if there is a change in appointment title. Only those individuals who have received a faculty appointment letter from the Provost are considered Regular or Associate Members of the Faculty, as defined in the Faculty Bylaws. Specific details relating to terms of appointment are addressed in the following sections, as required.

The reappointment of a Provost is not addressed in the Pink Book and so it is established here that a recommendation on the reappointment of an incumbent Provost shall be accomplished using the same process as for the Executive Faculty, described below.

4.1 Executive and Administrative Faculty

Executive and Administrative faculty are those faculty, as defined in the Pink Book, Section 7, appointed to serve academic administrative functions.

The appointment or reappointment of an Executive Faculty member, a Dean, Vice Provost, or Librarian, is accomplished by the formation of a Committee nominated by the Faculty Chair, subject to review, modification, and approval by the Provost. Such a committee should have representation from across the School, or Schools, as appropriate, and may include outside members. The Provost will announce the Committee and its charter to the NPS Faculty. The report and recommendation of the Committee will be provided to the Provost for review and subsequent recommendation to the President for approval.

The appointment or reappointment of an Administrative Faculty member, including Associate Deans, Associate Provosts, Academic Unit Chairs, full-time Associate Chairs, Associate Librarians, and Directors, is accomplished by an internal Committee selected by the appropriate administrator. The report and recommendation of the Committee will be pro-

vided to the appropriate administrator for review and approval, with appointment or reappointment made by and with the concurrence of the Provost.

Incumbent Executive and Administrative Faculty expressing a desire to continue in their position shall, with the consent of the Provost, be reviewed by a Reappointment Committee one year prior to the expiration of their term. If a decision is made to non-reappoint, an Appointment Committee will be established.

4.2 Tenure Track (TT) Faculty

Tenure-track faculty are those civilian faculty appointed as Assistant Professor, Associate Professor, or Professor. Tenure-track appointments may lead to award of tenure and a permanent appointment.

The tenure-track faculty funding model is based on the academic year with an associated intersessional period. Appointments are currently made using a nine-month model, with a three-month intersessional. Tenure-track faculty on this model receive nine months of institutional funding and are typically expected to teach four courses and perform research and provide service, as detailed in the tenure-track position descriptions and specified in the offer of employment letter.

The intersessional period may be filled with a variety of activities such as research or presenting short courses, classroom instruction when requested by the Academic Unit, NPS administrative activities, or leave. The intersessional period may be spread across the academic year as agreed upon with one's Chair.

Initial appointments of tenure-track faculty will be to an Academic rank and step approved by the President upon recommendation by the Provost and appropriate Dean. The offer of employment letter for each new faculty member provides this information. The initial appointment for tenure-track faculty is usually for a period of three years, although the first year is a probationary period for all new Federal employees. At the end of the second year of the initial appointment, 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, and a statement and explanation of the Chair's decision on reappointing the individual, or not, is provided to the Dean and Provost. In the event that a Chair recommends non-reappointment of the faculty member in a tenure-track position, and with approval by the Dean and Provost, written notice of non-reappointment is given to the faculty member and a final appointment of appropriate duration is made, as specified in the Pink Book, Section 8f.(3).

Under exceptional circumstances, as determined by the Provost, a Professor may be appointed with tenure. Such an appointment will be made only after the candidate has been reviewed and approved by the appropriate tenured faculty, the FPC, and the Deans' Council following procedures found in Section 5.1.3.3. Following successful consideration of

the case, the offer letter will indicate that the candidate either is awarded tenure or, for a new Government employee, will be awarded tenure after the mandatory one-year government probationary period is successfully completed.

4.3 Non-Tenure Track (NTT) Faculty

NTT faculty provide a variety of benefits to NPS in terms of breadth of knowledge and experience that contributes to the core mission. In addition, NTT faculty provide institutional flexibility and a means for responding to educational program needs that may be difficult to satisfy within the administrative parameters of the tenure-track faculty. The workloads of NTT faculty focus on specific duties in the areas of instruction and/or research; therefore objectives and performance evaluations shall clearly support and articulate the focus of individual NTT faculty.

4.3.1 Non-Tenure Track Faculty Appointments

All NTT appointments are for terms of definite length. The duration of the initial appointment is explicitly stated in the offer of employment letter. All appointments of NTT faculty will be at an academic rank and step approved by the President upon recommendation by the Provost based on the incumbent qualifications. Initial appointments will normally be from one to three years, depending on the position and/or availability of funds, however, the first year of federal service is always probationary.

See section 5.4 for non-reappointment policies.

4.3.2 Non-Tenure Track Faculty Categories

Instructional Faculty. This category includes Professors of Practice, Senior Lecturers and Lecturers. In general, these faculty focus their activities on instruction and thesis/project advising.

Research Faculty: This category includes Research Assistant Professor, Research Associate Professor, and Research Professor. In general, these faculty focus their activities on sponsored research and thesis/project advising.

Faculty Associates. This category includes Faculty Associate-Research, Faculty Associate-Education, Faculty Associate-Assessment and Accreditation, Faculty Associate-Instruction, and Faculty Associate-Learning Support Systems. These faculty focus their efforts on various education and/or research activities.

4.4 Recruitment and Initial Salary Determination

Faculty hiring at NPS is by selection of the best-qualified person from a pool of available applicants generated by an open recruitment process and in accordance with federal and Navy hiring regulations.

The process begins with the Chair submitting a request to recruit to the school administration. After receiving the written permission to recruit, an Academic Unit recruiting committee begins the process in consultation with Human Resources (HR). Detailed procedures may be Academic Unit specific, but must ensure a fair, open process that is in compliance with Navy equal employment opportunity (EEO) processes. At a minimum, positions must be openly advertised and there must be adequate time for applications. All candidates should be carefully evaluated and ranked, and leading candidates interviewed.

This recruitment process also applies to the movement of a faculty member from non-tenure track to the tenure track, or depending on the position, from one non-tenure track category to another.

For a more detailed description of the process consult Academic Planning and HR Office.

4.5 Joint Appointments

NPS places a significant emphasis on interdisciplinary research and instruction. To facilitate faculty participation in such activities it is advantageous for some faculty to have formal appointments in two Academic Units. For mentoring and promotion and tenure purposes these faculty must designate one of the two partnering units as the home Academic Unit. The home Academic Unit is responsible for supervising the faculty member in all civil service and academic matters.

All faculty are entitled to request a Joint Appointment between two Academic Units. One of the two units will be designated as the home Academic Unit. Tenure-track faculty may not list a research institute as the home Academic Unit.

Generally speaking, at least 50% of the faculty member's teaching/research efforts should take place in the home Academic Unit. Teaching/research efforts in support of the non-home unit should represent at least one-third of the faculty member's workload. The home Academic Unit Chair is responsible for ensuring the faculty workload is appropriate.

The maximum term of a joint appointment is three years. The faculty member initiates a request for a joint appointment by sending a memorandum to the Provost via both Academic Units and the School Dean(s). The appointment may be renewed by submission of a subsequent request to the Provost.

4.6 Military Faculty

4.6.1 Criteria for Awarding Academic Titles to Military Faculty

Active-duty officers are often assigned to NPS as military faculty (MILFAC) members. All military faculty that have academic duties shall be given a faculty appointment and academic title that is commensurate with their academic credentials and experience. MILFAC with a relevant Master's degree will typically be given an academic title as a Lecturer or Senior Lecturer, as appropriate. Those with an earned PhD (or equivalent terminal degree) in a relevant field will typically be given an academic title as Assistant Professor or higher, where the specific title depends on scholarly achievements.

The appointment to the faculty will be made by the Provost upon recommendation of the Chair and Dean. The appointment letter will specify the individual, a short summary of qualifications, the appropriate academic title based on the criteria above, and the term of the appointment.

All military faculty with academic appointments are eligible for promotion following the normal procedures for civilian faculty, although, due to the different appointment status of military officers under U.S. Code, academic appointments and promotions do not, and cannot, connote academic tenure.

4.6.2. Grandfathering

Military faculty assigned to NPS before the approval date of this document will retain their current academic titles.

4.7 Emeritus Title

The Emeritus title is an honor and mark of distinction that may be granted to Regular and Ex Officio Members of the faculty who have retired or left NPS. This honor is for those who have given sustained, outstanding service to NPS and its students.   See Instruction NPSINST 12900 for details.

4.8 Honorary Doctorates

NPS may honor men and women of exceptional accomplishment by conferring upon them Honorary Doctorate degrees. These individuals are recognized for distinguished contributions to a branch of learning associated with national security, or who have rendered distinguished service to some aspect of national security or to NPS. Achievements of national or international significance should be the determining criterion for all recipients, except those who are being honored for service to NPS. The achievements for which the doctorate is awarded may contribute directly to the success of NPS, the United States Navy, or the nation. It should be clear that the person being honored is someone who has

made a significant contribution and who will lend distinction to the University. See Instruction [NPSINST 1650.5A](#) for details.

4.9 Volunteers

Volunteers include people such as student interns, visiting faculty, and emeritus faculty and represent a valuable source of experience and expertise to NPS. They can provide important voluntary contributions in support of NPS's academic mission.

NPS accepts this type of volunteer service and, in keeping with the appropriate regulations, provides volunteers with reasonable resources to use during volunteer service at NPS. See Instructions [NPSINST 12361.1](#) and [NPSINST 12950.1](#) for details.

SECTION V - Faculty Employment Policies and Procedures

The Provost annually publishes two documents for the upcoming cycle of promotion and tenure, Promotion and Tenure Documentation Guidelines and Promotion and Tenure Procedures. These documents provide detailed administrative guidance for the promotion and tenure process for the year.

5.1 Promotions and Award of tenure for Tenure-track Faculty

Section 8 of the Pink Book specifies policy for Promotion and Tenure (P&T) at NPS. This section of the Faculty Handbook includes additional information relevant to the P&T process. Specific implementation procedures are provided in the annual guidelines promulgated by the Provost.

5.1.1 Evaluation Criteria for Promotion and Tenure

Criteria for promotion and tenure are delineated in Section 8 of the Pink Book. Further guidance on the evaluation of the scholarly products of faculty is found in the Provost's annual guidance, the "Marto" Report on Faculty Activities, Incentives and Evaluation, and the "Powers" Report of the Committee on Nontraditional Productivity.

5.1.2 Specific Rules Concerning the Tenure Consideration

Eligibility for tenure consideration is limited to faculty members holding regular faculty appointments in Academic Units. Individuals holding tenure in Academic Units who are appointed to administrative positions continue to hold tenure in those Academic Units. Full-time administrators must hold appointments in Academic Units to be considered for tenure. A decision not to grant tenure will result in a one-year final reappointment.

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 obtained, upon which occurrence tenure will be granted, b) citizenship is denied (including any appeals), or c) the individual has not applied for citizenship when first eligible. Under cases b) and c) above, the individual will be given a one-year final reappointment. If a non-citizen employee receives a decision to be granted tenure, that individual will be afforded all courtesies afforded tenured faculty within their Academic Unit and across the institution.

5.1.3 Scheduling of Tenure Consideration

There are three rules in NPS policy that govern the latest date at which a tenure-track appointee must be considered for tenure, termed the tenure consideration date:

1. Consistent with the [Pink Book](#), tenure consideration must occur no later than six years of total experience at NPS and accepted prior experience. Credit for total experience begins to accrue on the July 1st following the initial tenure-track faculty appointment. The default for each new tenure-track faculty member is a six-year timeline. For example, if hired June 30, 2100, this TT professor must be considered for tenure no later than the FY2105/06 P&T cycle, as the actual consideration will occur in the February / March 2106 timeframe. If hired July 1, 2100, consideration would normally be in the FY2106/07 P&T cycle.

2. Candidates who wish to be considered for tenure before six years of experience have passed may do so with the approval of the Chair and Dean of their Academic Unit, and the Provost, and the new tenure consideration date must be filed with the Provost and Academic Planning offices. Adjustments to this date beyond the six-year limit may be made in accordance with the considerations set out in Section 5.1.8.

3. Under exceptional circumstances, as determined by the Provost, a Professor may be appointed with tenure. Such an appointment will be made only after the candidate has been reviewed by the appropriate tenured faculty of the Academic Unit, the FPC, and the Deans' Council. Upon the approval of the President, the offer of employment letter will indicate that the candidate will be granted tenure after satisfactory completion of the mandatory one-year probationary period for new government employees.

5.1.4 Specific Rules Concerning TT Promotions

TT Faculty are specifically subject to the following rules:

1. A tenure-track Assistant Professor must come up for promotion to Associate Professor not later than the end of the sixth year of total experience, except as described in Section 5.1.8.

2. A tenure-track Assistant Professor must come up for promotion to Associate Professor at the same time she/he is considered for tenure.

3. An Associate Professor may come up for promotion to Professor multiple times without penalty. The normal expectation is that an Associate Professor will first be allowed to come up for Professor six years after attaining the rank. After six years in rank, upon request of the faculty member, the Academic Unit must initiate the promotion review process.

5.1.5 Procedures for Promotion and Tenure

The general outline of the process is as follows:

1. The promotion and tenure review process begins in August when the Academic Unit Chairs provide candidate names to be considered for P&T to the Provost. Candidates prepare their documentation, following the guidelines issued by the Provost.

2. For each candidate the Academic Unit Chair appoints a Department Evaluation Committee (DEC) (in this case department is used to refer to Academic Unit) which conducts a formal review of the candidate's professional qualifications. The DEC consists of at least three faculty members, all of whom hold a rank and tenure status at least equal to that being considered for the candidate. At least one member must be from outside the candidate's Academic Unit. The DEC submits its report to the Department Faculty Promotion Council (DFPC). The specific procedure for this review is at the discretion of the individual Academic Units, within policy guidelines provided annually by the Provost to ensure equitable treatment of all faculty.

3. The Academic Unit Chair convenes the DFPC to consider each case within the Chair's purview. The DFPC inspects the documentation, hears the presentation of the DEC, and discusses the case. Following discussions, DFPC members cast a secret ballot (the Chair does not vote). The results of this vote are advisory to the Chair and must be included in the Chair's section of the documentation package, along with any comments made by the DFPC. Written justifications of negative DFPC votes must be provided to the Chair.

4. The Academic Unit Chair makes a recommendation to the Provost and the Faculty Promotion Council (FPC) in the Chair's section of the documentation package. The specific composition of the FPC is detailed in Section 3.2.7. 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. During the winter quarter, there is a series of meetings of the FPC to consider all recommendations. The participants in the meetings shall be provided and review copies of the DEC and Academic Unit Chair's recommendations, as well as documentation for all candidates, including all letters of recommendation solicited and received. At these meetings, the Academic Unit Chair, or a representative of the individual's DEC, will make a presentation of each case under their purview and answers questions about the candidate's qualifications as needed. After full discussion, FPC voting members individually make their recommendations regarding all candidates to the Provost.

5. The Provost considers the recommendations and then meets with the Deans' Council for further consideration and discussion.

6. The Provost presents his recommendations to the President. The President, after consideration as deemed appropriate, makes the final decision on each case.

7. Notification of final decisions will be made in writing by the Provost to all candidates.

8. At each step of the process in which a vote and/or recommendation is made, the candidate and DFPC will be informed of the numerical results of the vote and general content of the recommendation being made to the next level.

9. The pre-decisional, working records of the P&T process, both paper and electronic, must be retained for one year after all candidates have been notified of the results, to satisfy EEO requirements, and should be destroyed promptly thereafter.

5.1.6 Withdrawing from the Process

1. Once the tenure review process begins, only the candidate for tenure may decide to withdraw their case. They may do so at any time during the process. In such cases, however, they will be continued only until the end of the current appointment.

2. Once the promotion process begins, only the candidate for promotion may withdraw their case. They may do so at any time during the process, without adverse consequence. The candidate retains the ability to go up for promotion in subsequent years (for Associate to Full Professor).

5.1.7 Procedural Appeals of the Tenure and Promotion Process

There may be cases in which faculty members are denied promotion or tenure after having been positively recommended by the DFPC, by their Chair, and/or by the FPC. In that case, the Provost and the appropriate Dean will meet with the DFPC to discuss the reasons for denial.

If the candidate believes that there has been procedural error in the tenure and promotion process, they may request that the Professional Practices Committee (PPC) review the issue. The PPC determines whether there has been a procedural error. In the case that a procedural error has occurred, and it has occurred at the Academic Unit level, the candidate may elect to request the PPC to replace the Chair in the tenure review process. The PPC then prepares a recommendation and supporting documentation similar to those developed by the Chair in the regular procedures and presents the case to the FPC. Thereafter, the alternate procedures are the same as those required for the regular procedures.

If the error occurred later in the review process (at the FPC, Deans' Council or later), or if it is too late in the tenure review cycle to continue the case in the current academic year, the PPC may, with the approval of the candidate, recommend to the Provost to postpone the case consideration to the following year. In this situation there will be no penalty against the candidate.

5.1.8 Modifying the Tenure Consideration Date

A modification of the tenure consideration date beyond the six year limit may be approved on a discretionary basis for extenuating professional or personal circumstances. Professional circumstances may include postings outside of NPS, such as serving on active military duty or holding a temporary position at NSF, ONR, DARPA, or similar federal government agency. Personal examples include, but are not limited to, serious personal illness or major illness of a member of the immediate family, death in the immediate family, and the demands of caring for a newborn child or a child newly placed for adoption or foster care.

Tenure-consideration-date modifications are granted in one-year increments. Requests should be made within a year of the qualifying event or extenuating circumstance.

Requests for a tenure-consideration-date modification must be submitted in writing to the Department Chair along with supporting documentation. Approvals by the department Chair, Dean, and Provost are required to modify the tenure consideration date. The faculty member may appeal denial of the request to the next higher level in their organizational reporting structure.

All individuals and committees participating in tenure reviews must understand that any individual who receives a tenure consideration date modification must not be held to a higher standard than faculty candidates who did not modify their consideration date.

5.2 Non Tenure Track Promotion Process

The Pink Book is silent on Promotion for non-tenure-track (NTT) faculty. Specific NTT promotion procedures are provided in the annual guidelines promulgated by the Provost.

5.2.1 Evaluation Criteria for Non-Tenure Track Ladder-Rank Promotion

NTT Faculty with ladder-rank appointments may progress through the ranks in their ladder and their performances will be evaluated based on the portfolio of work conducted and that was previously agreed upon in writing with the Chair of their Academic Unit as part of an approved annual work plan. The faculty member's annual Faculty Activity Report (FAR) must be used as part of the portfolio of work.

5.2.2 Scheduling of Promotion Consideration

Faculty in some non-tenure-track positions can be promoted to higher non-tenure-track ranks if their contributions qualify them for such advancement. The procedures for promotion of non-tenure-track faculty are analogous to those for tenure-track faculty. The candidates' accomplishments will be evaluated based on the portfolio of work conducted, as documented in their FAR, and agreed upon with the Chair of their Academic Unit.

- A Research Assistant Professor must come up no later than 6 years of total academic experience following the same process as that followed for promotion of a tenure track Assistant Professor, except as described in Section 5.1.8. Therefore, the maximum length of service for a Research Assistant Professor is seven years, including a one-year notification of non-reappointment at the end of the sixth year, except for extensions described in Section 5.1.8.

- A Research Associate Professor may come up for promotion to Research Professor multiple times without penalty. The first time the promotion can be considered is typically after a total of 6 years as a Research Associate Professor or equivalent in accredited institutions of higher education (or typically 12 years of equivalent professional experience).

- A Lecturer may be considered for promotion to Senior Lecturer multiple times without penalty. The first time the promotion can be considered is typically after a total of 6 years as a Lecturer or equivalent in accredited institutions of higher education (or equivalent professional experience).

- The Professor of the Practice rank is not a ladder rank position.

- Faculty Associates (FA) perform various academic roles. Employees in these FA positions may be considered for promotion within the FA category through their Academic Unit promotion process as described in Section 5.2.4.

5.2.3 Regular Procedures for Promotion of NTT Faculty, except for Faculty Associates

The notional promotion process is as listed in Section 5.1.5, Regular Procedures for Promotion and Tenure.

5.2.4 Regular Procedures for Promotion of Faculty Associates

The general outline of the process is as follows:

1. The promotion review cycle follows the faculty promotion process, beginning in August when the Academic Unit Chairs provide candidate names to be considered for promotion to the Provost. Candidates prepare their documentation, following the guidelines issued by the Provost.

2. For each candidate, the Academic Unit Chair appoints a Faculty Associate Department Evaluation Committee (DEC) (in this case department is used to refer to Academic Unit) which conducts a formal review of the candidate's professional qualifications. The DEC consists of at least three faculty members, all of whom hold a rank at least equal to that being considered for the candidate. At least one member must be from outside the candidate's Academic Unit. The DEC submits its report to the Department

Faculty Promotion Council (DFPC). The specific procedure for this review is at the discretion of the individual Academic Units, within policy guidelines provided annually by the Provost to ensure equitable treatment of all Faculty Associates.

3. The Academic Unit Chair convenes the DFPC to consider each case within the Chair's purview. The DFPC inspects the documentation, hears the presentation of the DEC, and discusses the case. Following discussions, DFPC members cast a secret ballot (the Chair does not vote). Negative DFPC votes must be provided with written justifications. The results of this vote are advisory to the Chair and must be included in the Chair's section of the documentation package, along with any comments made by the DFPC.

4. The Academic Unit Chair makes a recommendation to the Dean and the Provost in the Chair's section of the documentation package. This recommendation is supported by appropriate documentation specified by the Provost and must include the written report of the candidate's DEC.

5. The Provost presents his recommendations to the President. The President, after consideration as deemed appropriate, makes the final decision on each case.

6. Notification of final decisions will be made in writing by the Provost to all candidates.

7. At each step of the process in which a vote and/or recommendation is made, the candidate and DFPC will be informed of the numerical results of the vote and general content of the recommendation being made to the next level.

5.2.5 Procedural Appeals of the Promotion Process

The appeal process follows guidelines described in Section 5.1.7, Procedural Appeals of the Tenure and Promotion Process, as appropriate.

5.3 Faculty Reappointment

Tenured faculty hold permanent appointments. Other faculty hold appointments typically ranging from one to three years. The Academic Unit Chair is responsible for reviewing the performance of a faculty member and preparing a recommendation for reappointment or non-reappointment. This recommendation is sent to the Provost via the Dean for final determination as to whether a faculty member will be reappointed.

5.4 Non-reappointment of a Faculty Member

When a faculty member is not to be reappointed, before the employee is notified of the proposed action the Academic Unit Chair will coordinate the action via the Dean, the Provost, and the Human Resources Department for compliance with administrative re-

quirements and to enable the NPS academic administration to effectively manage its workforce.

Except for cases of non-re-appointment for cause, faculty members will be notified in writing of decisions not to reappoint them in accordance with the following schedule:

5.4.1 Tenure track: notice of non-reappointment will be given as specified in the Pink Book, Section 8.f.(3). Length of notice is dependent on time at NPS. The Provost will notify the faculty member.

5.4.2 Non tenure track, except Faculty Associates: if the appointment ends after the 1-year probationary period, notice of non-reappointment will be delivered as far in advance as possible, preferably at least six months. After the Provost's and the Dean's concurrence with the request to non-reappoint, the Dean will notify the faculty member.

5.4.3 Non tenure track, Faculty Associates: if the appointment ends after the 1-year probationary period, notice of non-reappointment will be delivered as far in advance as possible, preferably at least three months. After the Provost's and the Dean's concurrence with the request to non-reappoint, the Academic Unit Chair will notify the Faculty Associate.

5.4.4 Decisions to terminate an appointment prior to its expiration are considered "termination of appointment." This is addressed in Section 5. 5.

5.5 Termination of a Faculty Appointment

For a permanent appointment (tenured faculty only), termination may occur as described in Section 8.f.(3) (f) and (g) of the Pink Book.

For a time-limited (untenured tenure track and non-tenure track faculty) appointment, termination occurs when the appointment is ended before the expiry of the term of appointment. Termination may occur due to a lack of funding or due to a change in mission, organization, or workload, or for cause.

SECTION VI - FACULTY WORK PERFORMANCE AND REVIEW

6.1 Faculty Work Plan

The full-time academic workload encompasses many activities and is a different mix for each faculty member. These activities may include classroom, distance learning, or laboratory instruction; preparation of course, laboratory, or web-based learning materials; thesis or group project supervision; performance of research, curriculum design, student advising, NPS administration, and advising Navy and other government activities; and myriad other tasks.

The intersessional period can be spent in diverse ways. The intersession period can be used for a variety of activities, as agreed to with the Academic Unit Chair, including reimbursable research, classroom instruction, reimbursable short-course instruction, NPS administrative activities, or leave. The Workload Agreement is used to delineate the expected duties or activities during any quarters with intersession periods.

It should be noted that tenure-track faculty are appraised on contributions to teaching, research, and service. Non-tenure track are appraised on the activities specified in their quarterly workload document, called "Workload Objectives" on the appraisal form.

6.2 Faculty Workload Plan

At the beginning of each Academic Year or on a quarterly basis, faculty members should complete a workload plan in collaboration with their Chair. The workload plan should be updated as changes occur. Copies of these Workload Plans should be submitted annually as part of the Faculty Activity Report.

6.3 Academic Unit Labor Plan

At the beginning of the fiscal year, each Academic Unit Chair should develop and maintain a Faculty Labor Plan for the Academic Unit. This plan should identify the number of days in each quarter that each faculty member will spend supported by NPS funds and by reimbursable funds. It is important for each faculty member to understand and discuss this plan with the Chair to identify the expectations for teaching and other instructional activities and the amount of reimbursable activity expected. Any major changes and updates to the plan need to be discussed with and agreed to by the Chair. The plan should be updated at least quarterly, and as funding changes.

Faculty without an identified source of funding in their labor plan can expect to take leave on days when funding is not available. For example, this leave includes annual leave or leave without pay.

6.4 Annual Performance Appraisal

Separately from the P&T process, all NPS Faculty are subject to an annual performance appraisal. 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 appraisal system meets the government standards for annual appraisals and is intended to supplement, but not replace, the pay, promotion, and tenure procedures. See the HR Office website for details.

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 their performance. Faculty members may grieve performance appraisals and other matters relating to the appraisal program in accordance with NAVPGSCOLINST 12430.2F.

6.5 Annual Faculty Activity Reports

All Regular, ex-officio Members of the Faculty (except for the Provost, the President, and the Dean of Students), and Faculty Associates are required to fill out an annual Faculty Activity Report (FAR), documenting in summary their professional accomplishments for the preceding calendar year. Information in the FAR is used as part of the faculty P&T process, the annual performance appraisal process, and for the purposes of determining merit step pay increases and annual awards. Specific format and content guidelines for the FAR are distributed by the Provost each year.

6.6 Merit Step Increases

Annually, merit steps are allocated by the Provost. Deans then allocate these steps to their respective Academic Unit Chairs. Chairs evaluate the performance of the faculty members under their supervision and assign these pay steps to faculty members in recognition of especially meritorious performance during the preceding year. In exceptional cases, the Chair may request additional steps for individual faculty members from the appropriate Dean. The Provost makes final recommendations for pay-step increases to the President.

6.7 Faculty Awards

Faculty are rewarded for distinguished achievements in a variety of venues. These awards may include cash awards, incentive awards, recognition awards, and time off awards (see the Civilian Personnel section). Specific faculty awards are outlined in NPSINST 1650.1 series.

SECTION VII - Civilian Personnel Policy

This section provides summaries and links to civilian personnel policy applicable to the NPS faculty.

7.1 Equal Employment Opportunity

NPS is an equal opportunity employer. Equal employment opportunity is an essential element of readiness and is vital for attracting, developing and retaining a top-quality workforce to accomplish our strategic mission. As a model employer, NPS ensures a work environment free of discrimination, harassment, and reprisal of any kind. Treatment of all individuals with dignity and respect, regardless of their rank or grade, is essential at NPS. NPS strives to promote a work environment free from sexual harassment, fraternization, and discrimination in policy and practice; it offers both equal opportunity for advancement, facilitating achievement of each individual's maximum potential, and a fair and impartial review of complaints of discrimination. Creating a working environment that values and supports diversity and maintains sensitivities to our cultural differences will assist us in accomplishing our mission. Further details are provided in NPS NOTICE 5354.1

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.

7.2 Civil Service – Civilian Employees of the Federal Government

Civilian members of the faculty are appointed by the President, Naval Postgraduate School, in the excepted service, as authorized by Title 10, U.S. Code, Section 7044, and Title 5, Code of Federal Regulations, Section 213.3108 (b) .Under Schedule A Excepted Appointments, members of the faculty are covered by the Office of Personnel Management Regulations.

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 NPS 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 management, leave administration, honorary and cash awards, health benefits, retirement, and insurance benefits apply to all civilian members of the faculty. Specifics regarding honorary and cash awards are outlined in NPSINST 1200.1A. NPS faculty are also subject to mandatory civilian training requirements.

All NPS faculty positions (any employee in pay plan AD and series 1701) are designated "noncritical sensitive" because they involve "duties involving education and orientation of DoD personnel." As a consequence, failure to be eligible for a security clearance may be grounds for disciplinary action up to and including removal from federal service. In addition, NPS faculty serving in "critical-sensitive" or "special-sensitive" positions require eligibility for Top Secret and Top-Secret-SCI, respectively; and as such, are subject to random drug testing in accordance with the provisions of DON Civilian Human Resources Manual, Subchapter 792.3, Drug-Free Workplace Program.

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.

7.3 Ethics and Standards of Conduct

NPS faculty members, as Government employees, must adhere to the highest federal standards of ethics and conduct. Even when a proposed action technically complies with Federal ethics rules, faculty members should carefully consider whether the action would create an appearance of impropriety. If so, the action should not be undertaken.

All new NPS employees must receive initial ethics training within 90 days of beginning employment. NPS also conducts mandatory annual ethics training for all faculty and staff, usually in the summertime. This training is not a substitute for thorough review of the applicable Federal ethics rules, and consultation with an NPS Ethics Counselor when issues arise. The primary ethics references are linked on the NPS Office of Counsel intranet site.

Compliance with Federal ethics rules is mandatory. Faculty members who violate ethics standards may expect administrative discipline, assessment of civil penalties, or (in some cases) criminal prosecution.

Some ethics rules, like those relating to financial conflicts of interest, relate not only to the individual Government employee but also to members of the individual's immediate family and even his or her off-duty business associates. 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 Office of Counsel or the Judge Advocate General's office.

Although it does not carry the force of law like the Federal ethics rules, the Naval Postgraduate School supports the Statement on Professional Ethics provided by the American

Association of University Professors which can be found at
www.aaup.org/report/statement-professional-ethics.

7.4 Workplace Environment

In keeping with the core values of the United States Navy, NPS faculty must uphold the highest of professional, ethical, and moral standards.

All employees have the right to work in an environment free of harassment, intimidation or threats. In order to foster an environment of civility and mutual respect, members of the faculty are expected to interact in a respectful, professional, and responsible manner with students, colleagues, supervisors, and the public.

NPS faculty must act with integrity, honesty, and fairness while working to integrate these values into teaching, research, and business practices.

7.5 Telework

The Telework Enhancement Act of 2010 requires federal agencies to develop a telework policy, determine eligibility for employees, notify the employees of their telework eligibility status and ensure telework training for employees and supervisors. NPS faculty are typically eligible for telework and, due to the nature of their jobs, are encouraged to complete telework training and obtain approval for situational telework. Specifics are provided in Instruction NPSINST 5330.1.

Section VIII – Faculty Activities and Responsibilities

8.1 Professional responsibilities

Faculty members should be 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

As a teacher, a faculty member has the responsibility 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 faculty member earns the respect of students and of colleagues for their 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. The scholar recognizes a responsibility to contribute actively to the body of knowledge encompassed by their field.

The faculty member has the obligation to exercise good academic citizenship by full participation in the governance and service activities of NPS. The faculty member also recognizes personal responsibilities to the administrative operation of the School by direct participation and by adherence to applicable regulations and processes.

Finally, as a member of the Naval Postgraduate School and of the Navy community, the faculty member has a special responsibility to ensure that all professional activities are consistent with the mission of the NPS. 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 their career.

8.2 Academic Freedom (As defined in NPSINST 5720.2)

NPS faculty have considerable freedom in research and the appropriate publication of the results, and freedom in the classroom in discussing their subject. In the exercise of these freedoms, faculty members "should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution." (1940 *Statement of Principles on Academic Freedom and Tenure*, reaffirmed 1974, American Association of Colleges and American Association of University Professors, Oct. 26, 2006)

Publication of scholarly results is covered by [NPS Instruction 5720.2](#). Discussion or release of information must be in accordance with applicable regulations. It is the individual's responsibility to ensure that proper security procedures are followed at all times. The NPS Security Manager's office is available to assist in ensuring compliance.

8.3 Research and Scholarship

Faculty members are expected to engage in research and scholarly activities, commensurate with their appointments. NPS policies on Sponsored Program activities at NPS can be found at the [NPS Research and Sponsored Programs Office website](#).

8.4 Research and Scholarship Standards

The maintenance of high standards in the conduct of research and scholarship is the shared responsibility of all participants. NPS faculty members are required to adhere to professional research practices and to avoid 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, faulty data handling, or duplicate publication) are not tolerated at NPS. NPS requires truthful reporting of results with sufficient thoroughness that others are able to reproduce and build on experiments and studies. NPS also requires that significant errors are corrected when recognized. Research misconduct does not include honest error or difference of opinion.

Individual researchers at NPS share a collective responsibility for ensuring integrity in NPS research. They are expected to take action by contacting their supervisor, the Professional Practices Committee, or other appropriate Point of Contact when they become aware of inappropriate research conduct. NPS protects against reprisal or retaliation those who in good faith report suspected misconduct.

8.5 Outside Employment and Professional Activities

The Pink Book, Section 16, specifically recognizes that outside activity in the field of a faculty member's expertise has the potential for enhancing the professional competence of a faculty member and allows outside activity that does not interfere with the performance of NPS duties. A faculty member, in accepting an agreement for extramural professional activity, does so as an addition to full-time employment by NPS and not as a substitute for a portion of it. Faculty engaged in Outside Employment and Professional Activities are encouraged to make full use of Civil Service timekeeping flexibilities, particularly maxiflex, no core hours, and credit hours. Faculty are also encouraged to use the Government timekeeping system, SLDCADA, including the EVT (employee verified time) function.

Faculty members seeking permission to participate in such activities must to do so in accordance with NAVPGSCOLINST 5370.3, Policy Concerning Outside Employment and Professional Activities for Faculty, Staff, and Students.

The ultimate responsibility for adhering to the provisions of the instruction cited above rests with the individual faculty member. There is a continuing obligation for the faculty member engaged in outside activities to review the nature of the activity to ensure continued compliance with applicable Instruction and Ethics regulations.

8.6 On Campus Attendance

Faculty perform their duties both on and off campus; for this reason faculty work hours are flexible. Exercising this flexibility must be aligned with the primary NPS mission of providing advanced instruction, professional and technical education, and research opportunities for NPS students. Therefore faculty members are expected to be physically available for resident course delivery and to support the educational needs of the students. Faculty members are also expected to attend meetings and ceremonies as appropriate, for example, Academic Unit meetings, meetings of assigned committees, and graduation ceremonies.

All NPS faculty members are responsible for ensuring they are in compliance with NPS instructions governing off-campus work and teleworking as stipulated in NPSINST 5330.1, Naval Postgraduate School Civilian Telework Policy. The Human Resources Office is available to provide advice on these policies and regulations.

8.7 Commencement Exercises – Graduation

Commencement exercises constitute an important component of the formal NPS environment. Students, faculty, and staff are welcome to participate. All NPS faculty members, resident on the Monterey campus, are expected to attend quarterly commencement exercises on a regular basis, nominally at least once a year. Faculty members may attend in academic regalia or military uniform, as appropriate.

8.8 Faculty outside the Monterey Area

There are some NPS faculty who work in or from locations outside of the immediate Monterey, CA area. These faculty members are full members of the NPS Faculty and have the same rights, responsibilities and privileges as faculty of the same title who reside in Monterey.

9.1 Quarterly Academic Schedule

The Naval Postgraduate School operates under a quarter system, with each term of instruction lasting about twelve weeks. The last portion of the eleventh week or the early part of the twelfth week of each quarter is set aside for examinations. Graduation is held at the end of the twelfth week.

The twelfth week of the Winter and Summer quarters is set aside as a "Thesis and Research Week", with neither classes nor finals scheduled. Thesis and Research week allows for dedicated time of both faculty and students to the thesis and research components of NPS' education programs. In addition, there are two, two-week recesses during the academic year at the ends of the Fall and Spring quarters.

Holidays or the late start of a quarter may reduce the number of days available for holding classes within a given academic quarter, which may result in an unequal number of actual class days available for different days of the week. To re-balance available teaching days within a quarter, some quarters may contain a scheduled "shift day." On a "shift day" courses regularly scheduled for one day of the week will be re-scheduled to occur on an alternative day, replacing that day's class schedule. Shift days, if present, are noted in the quarterly schedule.

NPS publishes both a yearly academic planning calendar and a quarterly academic schedule that sets dates for major events such as examinations, nominations for degrees, class start/end dates, holidays, and deadlines for grades submission. The quarterly schedule is maintained by the Office of the Provost and can be found on the NPS intranet.

9.2 Class Schedules

Classes are typically scheduled from 0800 through 1750, with classes beginning on the hour and ending 10 minutes prior to the end of the hour. The Class Scheduler, under the Director of Academic Administration, in Academic Affairs, is responsible for developing the schedule of classes for each quarter from the student programs, within the limitations imposed by facilities. The responsibilities of the Class Scheduler, the Academic Unit Chairs, and the Program Officers in the scheduling process are set forth in NPSINST 5010.3.

To the extent possible, classes are not scheduled at these days/times:
- Daily: 1200-1250. To permit a lunch period and/or time for ad hoc student meetings.
- Tuesday: 1500-1650. Weekly time available for Secretary of the Navy Guest Lectures (SGL) and/or student meetings.

- Thursday: 1500-1650. Weekly time available for school/department administrative meetings.

9.3 PYTHON: The Official Education Management System of NPS

NPS uses an online system (PYTHON) to administer course offerings, class scheduling, faculty teaching assignments, special scheduling requests, and enter required books, grading, and recordkeeping. Faculty access the PYTHON system online using their NPS login name and password from any NPS computer or VPN.

9.4 Class Schedule Requests

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. Special scheduling requests are entered in the PYTHON scheduling system by the faculty. The Academic Unit Chair reviews the requests and submits a list of approved requests to the Scheduler in the Office of Academic Administration. 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 in PYTHON, changes in the published schedule will be considered only for appropriate reasons. Reference the instruction above (NPSINST 5010.3) for specific procedures.

9.5 Credit Hour Policy

From the NPS Academic Council Policy Manual (Section 6.1.3, "Credit Hour Policy") a Credit Hour is an amount of work represented in intended learning outcomes and verified by evidence of student achievement that reasonably approximates not less than:

1. One hour of classroom or direct faculty instruction and a minimum of two hours of out-of-class student work each week for approximately ten to twelve weeks or the equivalent amount of work over a different amount of time; or
2. At least an equivalent amount of work as required in paragraph (1) of this definition for other academic activities as established by NPS, including laboratory work, internships, practica, and other academic work leading to the award of credit hours.

9.6 Class Meetings

Within the 12 week academic quarter, the expectation is that all courses will meet a minimum of 10 contact hours for each credit hour of the course. Students are required to attend all class sessions unless excused by the professor (NPS Student Handbook). Class meetings in excess of 10 hours that are missed due to holiday or other reason need not be "made up" or replaced. Class meetings that are missed to cause contact hours to fall below 10 are required to be re-scheduled or substituted by an equivalent course learning activity.

9.7 Course Plan, Learning Outcomes, and Course Syllabus

Instructors are required to plan and maintain a syllabus for each course they teach. The main elements required in each course syllabus include:

    A. Course Description
    B. Course Learning Outcomes
    C. Selected Course Syllabus Elements.

Section 6 of the NPS Academic Council Manual provides specific guidance regarding these required course elements. Specific guidelines regarding course planning and the course syllabus process are also provided in that Section.

9.8 Independence of Student Work – Academic Honor Code

Student work (and faculty guidance) is subject to an Academic Honor Code, as described in detail in NPSINST 5370.4.

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 student work.

The instructor has specific obligations to ensure the integrity of the academic program at NPS. There are two categories of honor code violation: minor and unintended, and willful. They are handled in specific ways, detailed in the Instruction. Minor and unintended violations may be handled by the instructor, while the most serious violations (willful transgressions) must trigger a sequence of reports and events potentially leading to adjudication by an Honor Board. The specific details for this are contained in the Academic Honor Code.

9.9 Academic Advising

Academic advising of students is the responsibility of the Program Officers, Academic Associates, and the individual members of the faculty. The advising program is designed to encourage students to seek assistance when advice is desired or when the first indications of academic difficulties develop. Instructors are expected to make themselves readily available to facilitate student contact and advising (e.g., by holding office hours, scheduling meetings, participating in teleconferences, email correspondence, and online discussion boards).

9.10 Student Comment on Instruction (SOF)

The fundamental purpose of the student opinion form (SOF) at NPS is the improvement of educational effectiveness at NPS – i.e., improvement of instruction and improvement of student learning. SOFs are one component of the overall effort to evaluate instructors and instruction. The SOF provides student information for the multiple purposes of:

- · Assessment of the effectiveness of faculty instruction (separate from the course)
- · Assessment of the content and value of the course (separate from the instructor)
- · Assessment of the student learning accomplished via the course.

Students are given an opportunity to provide this feedback at the end of each academic quarter via a formal feedback process. The Faculty and the Provost have responsibility for the content of the SOF.

The SOF process is managed through the PYTHON system and administrative control over the process is exercised through the office of the Vice Provost for Academic Affairs (VPAA). SOFs are required to be administered for every class with five or more students enrolled. The administration of the SOF is designed to ensure a response from each of the students and to preserve the anonymity of each student.

All individual SOF information is privileged and must be handled accordingly. SOF information consists of two parts: quantitative assessments and qualitative/narrative feedback. The quantitative information is provided to Academic Unit Chairs, who use it as one component in the process of reviewing and assessing the effectiveness of courses and instruction. In the case that a faculty member teaches a course in another Academic Unit, the VPAA provides to Academic Unit Chairs SOF quantitative data for instructors based in other Academic Units, upon request. The narrative comments are provided only to the instructor.

Quantitative SOF data for all courses taught by a faculty member are a part of the documentation which may be used to inform the assessment of teaching effectiveness during the faculty re-appointment process and annual performance review.

9.11 Final Examinations

Final examinations may be given only during the scheduled finals period at the end of each quarter. Administering final exams earlier than this period disrupts learning in other courses that the student is taking.

Final examination schedules are prepared and distributed by the Class Scheduler via the PYTHON system. The final examination schedule provides a common, or contiguous, examination period(s) for all segments of the same course and deconflicts potential conflicts between final exams in different courses. If a final exam will not be given in a course, the Instructor needs to indicate "no final exam" into PYTHON as a special scheduling request.

9.12 Reporting of Registrations and Grades

The procedure for faculty reporting of registration, changes in registration, grades, and changes in grades, are described in NPSINST 1520. All grade assignments except for changing a grade are handled within PYTHON.

Faculty are required to submit grades via PYTHON during the grading period after each quarter. Grades are due by the end of the first full week of the following quarter (the window closes on the first Friday of classes, at midnight).

Changes in grades, once submitted, are permitted only under special circumstances. To provide consistent practices by all instructors and fair and equal treatment for all students, criteria for valid grade changes have been set forth in NPSINST 1520.Valid reasons include 1) arithmetic errors in calculating grades, 2) clerical errors, and 3) make-up of Incomplete. The grade of Incomplete ("I") may be assigned if a significant, identifiable part of the course has not been completed. Requests to replace an Incomplete with an assigned grade should be submitted to the Registrar's Office within twelve weeks following the end of the quarter for which the grades were given.

9.13 Grading System

[Section 6 of the Academic Policy Manual](#) describes NPS' policy and practices for grading, including:

- Grading Procedures
- Numerical Equivalents for Grades
- Pass/Fail Grading
- Quality Point Rating (QPR).

9.14 Grading Procedures

Section 6.1.1 of the NPS [Academic Policy Manual](#) provides qualitative descriptions for the various letter grades (A through D, and X) assigned to courses taught at NPS.

9.15 Course Journals

NPS has a long-standing expectation that all teaching faculty will maintain a package of materials that describes the courses they taught during each quarter. These "course journals" serve multiple purposes:

- The department gains a comprehensive corporate memory on the content and recent experience of our classroom instructional program;
- Faculty colleagues have access to readily available information about the level and nature of preparation of students who will be entering their courses;
- New instructors can find information and ideas about what has been the form, format, and experience teaching a particular course; and
- The Chair has additional data upon which to base performance review and appraisals for individual faculty members.

The content of a Course Journal is intended to provide a description of the course as taught in the specific quarter. As such, the Course Journal would typically include the course outline/syllabus actually used; copies of exams, quizzes and student homework/term paper/project assignments; and a copy of reading lists. Inclusion of teaching materials, notes, case studies, etc. actually used in the course is encouraged.

Course Journals are maintained by the faculty member for all courses taught. Course Journals may be maintained in paper or electronic form, as appropriate. These should be kept for a minimum of four years or as determined by the Academic Unit. Course Journals

are made available to colleagues and/or submitted to Academic Unit Chairs in accordance with the rules and practices of the Department.

Section X - Faculty Development

10.1 Certifications

Each Academic Unit establishes the qualifications necessary to be considered eligible and to maintain a faculty position within the Academic Unit. If a faculty member is in a discipline that requires specific professional certifications to remain competent and current, NPS endorses the efforts of the faculty member to maintain those certifications.

10.2 Professional Development Opportunities

NPS maintains an Office of Faculty Development, which provides education, resources, individualized coaching, and consultations to promote excellence in teaching. Serving individual faculty, departments, and schools, professional development programs promote the continuous improvement of instruction, enhance learner engagement, expand pedagogical practices, and develop a range of measures that assess student learning and the achievement of course and program outcomes. Please see the Office of Faculty Development for additional information.

NPS encourages its faculty members to seek out continuous opportunities for their professional development, and affirms that attending professional conferences and other faculty development opportunities is necessary for faculty to remain current in their fields.

Aside from the sabbatical program, there is no campus-wide official policy or program of support for faculty to pursue development opportunities outside of NPS. Each Academic Unit maintains a policy on providing support to its faculty for attending professional conferences and other development opportunities.

10.3 Research Initiation Program (RIP)

NPS maintains a program of research support for new tenure-track faculty, entitled the Research Initiation Program (RIP). The purpose of RIP is to help new faculty establish and develop a program of research that is attuned to NPS and its students, the Navy and its interests, and the broader Department of Defense. RIP also aims to help new faculty establish their research labs where appropriate.

10.4 Mentoring

Mentoring faculty is one of several important mechanisms established by NPS to assist all faculty, regardless of their academic rank or standing, in developing their careers and

reaching their full professional potential. Every faculty member should be mentored by a member with a higher rank than the mentee. Mentoring of the faculty is a responsibility of all faculty members and a particular responsibility of the chair, Dean, and senior faculty of the Academic Unit.

There will be variations in how each Academic Unit conducts mentoring depending on faculty position and area of interest. Therefore, NPS does not mandate a particular mentoring methodology. However, it is expected that counseling and mentoring will occur on a regular basis mutually agreed between a mentor and mentee. The mentor is charged with performing mentoring duties in accordance with best practices. Faculty members with questions in this area should consult the department Chair or head of their Academic Unit.

10.5 Sabbatical

Tenured civilian faculty are eligible to apply for sabbatical leave, in order for the faculty member to have a period of professional rejuvenation. The basic policy regarding sabbaticals is found in Section 14 of the Pink Book. NPSINST 12630.5 contains the policy and procedures for NPS sabbaticals. Sabbatical leave is awarded on a competitive basis, utilizing an annual call for applications and review procedure. The process is managed by the Office of the Provost, and typically applications are due on April 1of each year.

10.6 Required Training

NPS faculty are required to complete certain training requirements on a regular basis. Primarily, these training requirements pertain to research, ethics, security (physical, cyber, and other), financial responsibility and accountability, equal employment opportunity, sexual harassment policies, and other subjects as determined by the various administrative offices at NPS. In addition, faculty traveling overseas are required to take a set of trainings that are specific to the region in which the travel will take place; these are managed by the NPS Security Manager's Office and specific information may be obtained prior to each trip.

Section XI – Research and Scholarship

11.1 NPS Research Goals

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

- To perform research on defense and national security-related problems that supports the mission of the Department of the Navy, the Department of Defense, or other Governmental agencies. Working on these problems provides mutual benefit to the faculty member, to the students, to NPS, and to the research sponsor.

- 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 accomplish these goals, the faculty will:

- Build intellectual capital by engaging 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.

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 the Pink Book, Section 8b.(2) and Section 10.

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.

11.2 Sponsored Research Program Proposals

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

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.

11.3 The Research Initiation Program

The Dean of Research is in charge of the Research Initiation Program (RIP), mentioned in Section 10.3, which provides partial support for new tenure-track faculty who are initiating research programs at NPS. In the case of seasoned faculty members who come aboard, a legitimate use of RIP is for the transition to defense-oriented research. This support is designed to enable new tenure-track faculty to conduct 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 an appropriate sponsor. The minimum expected output from a RIP project is a technical report describing the results of the research. After the first two years, faculty members are expected to be able to support their research with external funds.

11.4 Publication Release

Public release of unclassified scholarly material is intended to be the responsibility of each author of scholarly material at NPS. Authors will be expected to exercise good judgment regarding the public release of all of their manuscripts (including drafts submitted for peer review), slide decks, etc. Faculty must certify on their annual Faculty Activity Report (FAR) that their listed publications do not contain sensitive information.

Faculty are required to undergo Public Release training which covers Controlled Unclassified Information (CUI) issues to help them identify whether consultation with a Subject Matter Expert is required to assess release of the material. Specific details are included in NPSINST 5720.2

11.5 Research Involving Human Subjects or their Personal Data

The text in this section is in large part borrowed from the United States Naval Academy Faculty Handbook, ACDEAN Instruction 5400.2, Chapter 2, dated 2 April 2015.

11.5.1 Determination

NPS faculty and staff may engage in research activities associated with the education of NPS students. When human subjects or their personal data are involved, these research activities are carefully controlled by federal law and regulation. As defined in federal regulations and as used in the Secretary of the Navy instruction on human subject research, SECNAVINST 3900.39D research is construed broadly: it includes not just the research traditionally associated with scholarly work, but also surveys, interviews, and focus groups associated with academic assessment or program improvement. For questions or inquiries and official determinations contact the Institutional Review Board for the Protection of Human Subjects.

11.5.2 Compliance

The Naval Postgraduate School is responsible for complying with all applicable federal, state, and local laws relating to the protection of human subjects participating in research conducted at or under the auspices of NPS. As part of the compliance procedure, the Naval Postgraduate School has established an Institutional Review Board (IRB) that reviews and recommends for approval to the President human subject research conducted under the jurisdiction of NPS. Course evaluations are not considered research with human subjects and instructors are not required to submit a protocol for review to the NPS IRB, under the Code of Federal Regulations (32 CFR 219). It is understood that course and instructor evaluations are for internal use only and are not intended for external distribution, presentation, or publication. No identifiable information may be collected on the course evaluations. If an instructor plans to add additional questions that are outside the scope of the course assessment, or if an instructor plans to publish the results derived from class surveys or focus groups, the instructor must contact the IRB before proceeding.

11.5.3 IRB Review Process

All project studies that directly or indirectly involve human subjects or private data about them (whether or not identifying information has been removed) must be independently reviewed via the NPS IRB process. At the conclusion of the review, the IRB forwards a recommendation of approval or disapproval of the proposed project to the President. The President, who has been designated as the NPS single approval authority, may only approve proposed human subject research activities that have been forwarded by the IRB with a positive endorsement.

11.5.4 IRB Policies

No human subject research activity on a proposed project (including the solicitation of study participants, distribution of informed consent forms, data collection, data analysis, etc.), may begin until the principal investigator receives written notification of the approval of the protocol.

11.5.5 IRB Training

All faculty, staff, and administrators must be aware of IRB policies and procedures in place at NPS and must complete required training about the protection of human research subjects at NPS before starting to work on their research projects.

11.6 Copyrights

NPS faculty are bound by U.S. copyright law as well as the Secretary of the Navy's instruction on copyright and the NPS policy on copyright (NPSINST 5870.1). Instruction NPSINST 5870.1 follows the DON guidance issued in SECNAVINST 5870.4A and should be reviewed in its entirety.

Copyright protection in the United States is not available for works prepared by employees of the United States government as part of their official duties. Accordingly, before asserting or assigning a copyright in a work, a faculty member should determine if the work was prepared as part of official duties, federally funded, or it is a personal work. In making this determination, a faculty member should reference SECNAVINST 5870.4A with regard to writing, official duties, and use of information obtained from official duties and consult with their supervisor. Faculty members or supervisors who are unable to readily determine official duties from personal works, who have mixed official and personal effort for a work, or who have other questions should consult the NPS Office of Counsel.

11.7 Reimbursable Funding Attestation

Principal Investigators (PIs) must be good stewards of the funds for which they are responsible. PIs must ensure that the funds are used properly and responsibly. PIs need to be aware of the state of their accounts and how the funds have been used. PIs are required to attest to the accuracy of the charges made to their grants on a periodic basis.

GLOSSARY

Academic Unit - Academic Units are defined as the Academic Departments, Academic Groups, Centers, and Institutes, and include GSBPP, where the Chair's duties are the responsibility of the Dean.

Pink Book – Naval Postgraduate School Policy Regarding Appointment, Promotion, Salary and Tenure of Office of the Civilian Members of the Faculty.

Deans' Council – Members include the Deans of the four Schools as voting members. The Chair of the Faculty and the Chair of the Professional Practices Committee are non-voting members. See Section 3.2.6.

Faculty Promotion Council – Members include the Chairs of the Academic Departments, and the Faculty Chair as voting members. See Section 3.2.7.

ACRONYMS

This is a list of acronyms frequently encountered at NPS.

AC	Academic Council
ACPM	Academic Council Policy Manual
BOA	Board of Advisors
BIN	Billet Identification Number
CAC	Common Access Card
CNO	Chief of Naval Operations
CCS	Command Climate Survey
CED3	Center for Educational Design, Development, and Delivery
COS	Chief of Staff
DOR	Dean of Research
DOS	Dean of Students
EB	Executive Board
EOPF	Electronic Official Personnel File
FCEB	Faculty Council Executive Board
FOM	Faculty Orientation Manual
FTE	Full-time equivalent
GSBPP	Graduate School of Business and Public Policy
GSEAS	Graduate School of Engineering and Applied Science
GSOIS	Graduate School of Operational and Information Science
GWC	Graduate Writing Center
ITACS	Information Technology and Computing Services
JPME	Joint Professional Military Education
LES	Leave and Earnings Statement
MWR	Morale, Welfare, and Recreation
NEX	Navy Exchange
NMCI	Navy Marine Corps Internet
NPS	Naval Postgraduate School
NSAM	Naval Support Activity Monterey
PME	Professional Military Education
PPC	Professional Practices Committee
SGL	Secretary of the Navy Guest Lecture
TAC	Technology Assistance Center
VPAA	Vice Provost for Academic Affairs