

# **Naval War College**

## **Self Study**

**Submitted to**

**NEW ENGLAND ASSOCIATION OF  
SCHOOLS AND COLLEGES, INC.**

**COMMISSION ON INSTITUTIONS OF  
HIGHER EDUCATION**

**Naval War College  
Newport, RI  
September 2014**

## **The College's Strategic Tradition**

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

**RADM STEPHEN B. LUCE, USN**  
**Founding President, NWC**



**"Any new improvement in the College's courses of instruction must support the objective of the Naval War College, which is to enhance the capability of naval officers to make sound decisions in both command and management positions. To do this the College will emphasize intellectual development and academic excellence."**

**VADM STANSFIELD TURNER, USN**



General Order, No. 325

October 6, 1884

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

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

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

The course of instruction will be open to all officers above the grade of naval cadet. Commodore S. B. Luce has been assigned to duty as the president of the college.

**WM. E. CHANDLER,**  
Secretary of the Navy



# Table of Contents

<b>Table of Contents.....</b>	<b>vii</b>
<b>Institutional Characteristics Form.....</b>	<b>ix</b>
<b>Introduction.....</b>	<b>xxiii</b>
<b>Institutional Overview.....</b>	<b>xxv</b>

## Chapters

1. Mission and Purposes.....	1-1
2. Planning and Evaluation.....	2-1
3. Organization and Governance.....	3-1
4. The Academic Program.....	4-1
5. Faculty.....	5-1
6. Students.....	6-1
7. Library and Other Information Resources.....	7-1
8. Physical and Technological Resources.....	8-1
9. Financial Resources.....	9-1
10. Public Disclosure.....	10-1
11. Integrity.....	11-1

## Appendices

- A. Affirmation of Compliance with Federal Requirements of Title 4
- B. Data Forms on Student Achievement and Success (E & S forms)
- C. Non-degree Programs



**Institutional Characteristics Form Revised September 2014**

This form is to be completed and placed at the beginning of the self-study report:

Date: September 2014

1. Corporate name of institution: United States Naval War College
2. Date institution was chartered or authorized: 1884
3. Date institution enrolled first students in degree programs: 1989
4. Date institution awarded first degrees: 1991
5. Type of control:

Public

State

City

Other

(Specify) Federal

Private

Independent, not-for-profit

Religious Group  
(Name of Church)

Proprietary

Other: (Specify)

6. By what agency is the institution legally authorized to provide a program of education beyond high school, and what degrees is it authorized to grant? NEAS&C and Chairman, Joint Chiefs of Staff, Department of Defense, U.S. Government.

7. Level of postsecondary offering (check all that apply)

Less than one year of work

At least one but less than two years

Diploma or certificate programs of at least two but less than four years

Associate degree granting program of at least two years

Four- or five-year baccalaureate degree granting program

First professional degree

Master's and/or work beyond the first professional degree

Work beyond the master's level but not at the doctoral level (e.g., Specialist in Education)

A doctor of philosophy or equivalent degree

Other doctoral programs \_\_\_\_\_

Other (Specify)

8. Type of undergraduate programs (check all that apply)

Occupational training at the crafts/clerical level (certificate or diploma)

Liberal arts and general

- Occupational training at the technical or semi-professional level (degree)
   
  Teacher preparatory
- Two-year programs designed for full transfer to a baccalaureate degree
   
  Professional
- Other \_\_\_\_\_

9. The calendar system at the institution is:

- Semester       Quarter       Trimester       Other \_\_\_\_\_

10. What constitutes the credit hour load for a full-time equivalent (FTE) student each semester?

- a) Undergraduate \_\_\_\_\_ credit hours
- b) Graduate 10 credit hours for senior-level program; two 9 credit trimesters and one 12 credit trimester for the intermediate-level program
- c) Professional \_\_\_\_\_ credit hours

11. Student population:

a) Degree-seeking students:

	<b>Undergraduate</b>	<b>Graduate</b>	<b>Total</b>
Full-time student headcount	None	578	578
Part-time student headcount	None	619	619
FTE	None	723	723

b) Number of students (headcount) in non-credit, short-term courses: 14,885

12. List all programs accredited by a nationally recognized, specialized accrediting agency.

<b>Program</b>	<b>Agency</b>	<b>Accredited since</b>	<b>Last Reviewed</b>	<b>Next Review</b>
Master of Arts in National Security and Strategic Studies	NEAS&C	29 September 1989	September 20004	November 2014
Joint Professional Military Education, Phase I	Chairman, Joint Chiefs of Staff, Department of Defense, U.S. Government		CNC&S PAJE Team by Joint Staff J7 – October 2009	October 2015
Joint	Chairman, Joint		CNW PAJE Team	May 2015

Professional Military Education, Phase II	Chiefs of Staff, Department of Defense, U.S. Government		by Joint Staff J7 – May 2009	
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13. **Off-campus Locations.** List all instructional locations other than the main campus. For each site, indicate whether the location offers full-degree programs or 50% or more of one or more degree programs. Record the full-time equivalent enrollment (FTE) for the most recent year. Add more rows as needed.

	Students	50%-99%	FTE
Annapolis, MD	130		
Bangor, WA	18		
Dahlgren, VA	22		
Dallas/Fort Worth	13		
Everett, WA	11		
Great Lakes, IL	22		
Jacksonville, FL	32		
Mayport, FL	15		
Millington, TN	16		
Monterey, CA	410		
Newport, RI	66		
Norfolk, VA	132		
Patuxent River, MD	21		
Pearl Harbor, HI	66		
Pensacola, FL	22		
Port Hueneme, CA	18		
Washington, DC	370		
Whidbey Island, WA	9		

NOTE – AIL Site Fort Meade, MD closed 24 July 2013.

14. **International Locations:** For each overseas instructional location, indicate the name of the program, the location, and the headcount of students enrolled for the most recent year. An overseas instructional location is defined as “any overseas location of an institution, other than the main campus, at which the institution matriculates students to whom it offers any portion of a degree program or offers on-site instruction or instructional support for students enrolled in a predominantly or totally on-line program.” **Do not include study abroad locations.**

Name of program(s)	Location	Headcount
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None		

15. Degrees and certificates offered 50% or more electronically: For each degree or Title IV-eligible certificate, indicate the level (certificate, associate's, baccalaureate, master's, professional, doctoral), the percentage of credits that may be completed on-line, and the FTE of matriculated students for the most recent year. Enter more rows as needed.

Name of program	Degree level	% on-line	FTE
Web-Enabled Command & Staff Course	JPME I Certificate		240
CD-ROM-based Course	JPME I Certificate		125

16. Instruction offered through contractual relationships: For each contractual relationship through which instruction is offered for a Title IV-eligible degree or certificate, indicate the name of the contractor, the location of instruction, the program name, and degree or certificate, and the number of credits that may be completed through the contractual relationship. Enter more rows as needed.

Name of contractor	of	Location	Name of program	Degree or certificate	# of credits
None					

17. List by name and title the chief administrative officers of the institution. (Use the table on the following page.)

**CHIEF INSTITUTIONAL OFFICERS**

Function or Official	Name	Exact Title	Year of Appointment
Chair, Board of Trustees	Admiral Jonathan Greenert	Chief of Naval Operations	2011
President/Director	Rear Admiral P. Gardner Howe	President	2014

Executive Vice President/Chief Operating Officer	Professor William R. Spain	Acting Provost	2014
Chief Academic Officer	Dr. John F. Garofano	Dean of Academic Affairs	2009
Chief Financial Officer	Mr. Steven L. Smith	Comptroller	2006
Student Affairs Officer	Capt John Griffin	Dean of Students	2014
Planning	Professor William R. Spain	Acting Provost	2008
Institutional Research	Professor Edward Gillen	Director of Institutional Research	2014
Development	Professor William R. Spain	Acting Provost	2014
Library	Dr. Allen C. Benson	Director, Naval War College Library	2011
Continuing Education	Dr. Jay Hickey	Director, College of Distance Education	2010
Grants/Research	N/A		
Admissions	Captain John Griffin	Dean of Students	2013
Registrar	Captain John Griffin	Registrar	2013
Financial Aid	N/A		
Public Relations	Commander Kelly Brannon	Public Affairs Officer	2014
Alumni Association	Ms. Julia Gage	Director, Center for Lifelong Learning	2011
Dean of Schools	Professor Thomas Culora	Acting Dean, Center for Naval Warfare Studies	2014
	Professor Tom Mangold	Dean, International Programs	2012
	Rear Admiral James D. Kelly, US Navy (Ret.)	Dean, College of Operational and Strategic Leadership	
Other	Captain Richard LaBranche	Director, Maritime Advanced Warfighting School (MAWS)	2014
	Dr. David A. Cooper	Chair, National Security Affairs Department	2010
	Dr. Michael F. Pavkovic	Chair, Strategy and Policy Department	2013
	Professor Alan J. Abramson	Chair, Joint Military Operations Department	2010
	Dr. Timothy Schultz	Associate Dean of Academics for Electives and Directed Research	2014
	Master Chief Jason	Director, Senior Enlisted Academy	2012

	Wallis		
	Captain Mark A. Johnson	Director, Naval Leadership and Ethics Center	
Board of Advisors	Vice Admiral Lee Gunn, US Navy (Ret.)	President, CNA Corporation's Institute for Public Research	
	AMB Nancy Soderbert	President, Connect US Fund	
	Dr. Paul J. Bracken	Professor, Yale University	
	Dr. Elisabeth Pate-Cornell	Professor, Stanford University	
	Dr. Gordon Adams	Professor, American University	
	Dr. Katherine McGrady	Executive President & Chief Operating Officer, Center for Naval Analysis	
	Vice Admiral Bill Moran, US Navy	Chief of Naval Personnel, Navy Staff	
	Major General Thomas Murray	US Marine Corps Training & Education Command	

18. Supply a table of organization for the institution. While the organization of any institution will depend on its purpose, size and scope of operation, institutional organization usually includes four areas. Although every institution may not have a major administrative division for these areas, the following outline may be helpful in charting and describing the overall administrative organization:
- a) Organization of academic affairs, showing a line of responsibility to president for each department, school division, library, admissions office, and other units assigned to this area;
  - b) Organization of student affairs, including health services, student government, intercollegiate activities, and other units assigned to this area;
  - c) Organization of finances and business management, including plant operations and maintenance, non-academic personnel administration, IT, auxiliary enterprises, and other units assigned to this area;
  - d) Organization of institutional advancement, including fund development, public relations, alumni office and other units assigned to this area.

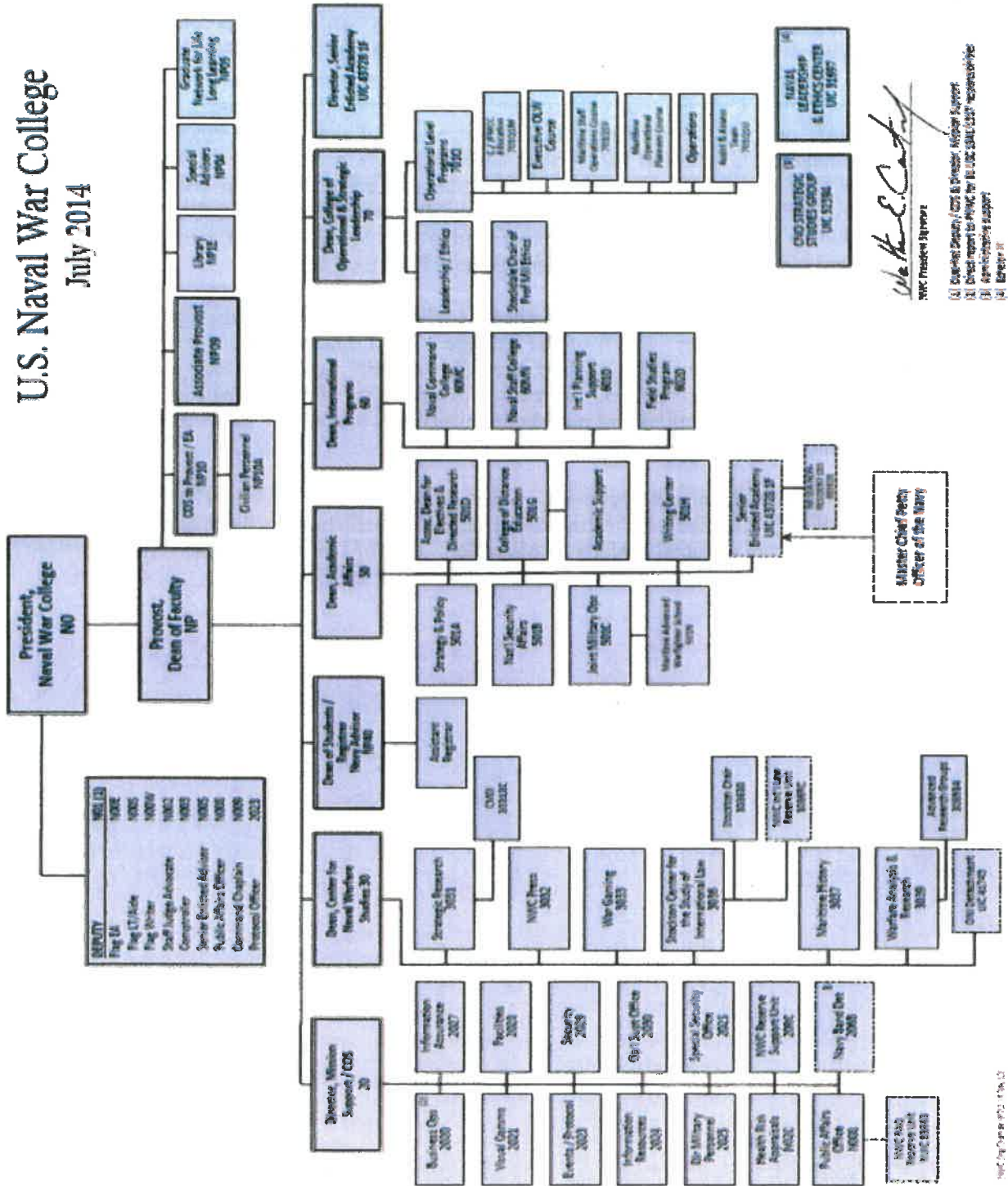
Organization of academic affairs. The President of the Naval War College is accountable for all operations of the College in its four key mission areas: educate & develop leaders; assist in defining the future Navy and its associated function; support combat readiness; and strengthen global maritime partnerships. The Provost is responsible to the President for the effective and efficient functioning of the College in both academic and nonacademic areas. In the academic arena, the Provost is supported in his duties by the Dean of Academic Affairs and the Dean of Students (who also oversees admissions for U.S. Students), The Dean of Naval Warfare Studies directs the Center for Naval Warfare Studies (CNWS), which is responsible for publishing the *Naval War College Review*, the Newport Papers monograph series, and other scholarly work; the Dean of International Programs, responsible for international students, and the Dean of the College Operational and Strategic Leadership (COSL) responsible for many of our operational level of war certificate programs.

Organization of student affairs. The College's student body is divided into three distinct groups: resident U.S. students, resident international students, and nonresident U.S. students. The Dean of Students is responsible for all administrative tasks associated with the U.S. student body of the College of Naval Warfare (CNW) and the College of Naval Command and Staff (CNC&S). U.S. students are also assisted, primarily in parent service-related issues, by resident senior officer service advisors, who also serve as special advisors to the President. The Dean and his staff assist and support the student body in the development and organization of a number of student-run executive, academic, and social committees. Additionally, while the College does not compete in formalized intercollegiate activities, there is an active intramural sports program at the College. The directors of the two international colleges, the Naval Command College (NCC) and the Naval Staff College (NSC), are responsible for the administration and support of selected midcareer and senior international officers during their residence in Newport. The Deputy/Chief of Staff is responsible for overseeing health services for the staff and student body. On-site resources include a small primary care manager similar to a Physician's Assistant, while complete dental and medical care facilities are located less than one mile from the College.

Organization of finances and business management. In the nonacademic (business) arena, the Provost serves as the Chief Operating Officer (COO) of the College. The Deputy/Chief of Staff serves as the principal assistant to the President for mission support, including security, safety, and all administrative and support functions for nonacademic personnel. Directors reporting to the Deputy/Chief of Staff include those responsible for the plant operations and maintenance, business operations, information resources, long-range planning and other auxiliary functions.

Organization of institutional advancement. The Provost in his role as COO, oversees institutional advancement efforts. Outside of the traditional academic structure of the College, the President has a number of staff officers attached directly to his office. One of these, the Public Affairs Officer (PAO), is responsible for coordinating the entirety of public relations for the College.

# U.S. Naval War College July 2014



*W. H. E. C. C. C.*  
NWC President August

- (1) Dual-hat Deputy / CDS & Director, Mission Support
- (2) Direct report to P/NAV for the U.S. SNA/CAS' representative
- (3) Administrative support
- (4) Budget



19. Record briefly the central elements in the history of the institution:

- May 1884: At the suggestion of Commodore Stephen B. Luce, Secretary of the Navy William E. Chandler appoints a board of three officers to examine Luce's proposal for Postgraduate education for naval officers.
- 13 June 1884: Board headed by Luce recommends establishment of a war college.
- 6 October 1884: Navy Department General Order No. 325 establishes Naval War College in the former poorhouse and deaf and dumb asylum on Coasters Harbor Island at Newport, RI.
- 4 September 1885: First summer course begins with nine students and a faculty composed of Luce, an army officer, and a civilian professor of international law.
- 26 August 1886: Alfred Thayer Mahan succeeds Luce as College president.
- 1887: William McCarty Little introduces naval wargaming.
- 1 July 1890: Mahan publishes his series of war college lectures under the title *The Influence of Sea Power upon History 1660-1783*.
- 28 May 1892: First new building, Luce Hall, completed.
- 12 June 1894: First foreign officer students attend classes.
- 19 April 1898: College closed for duration of the Spanish-American War.
- 17 June 1904: Mahan Library completed.
- 1 October 1911: First year-long course begins, with four students.
- 1 October 1913: First diplomas awarded, presented to members of the 1911-12 and 1912-13 classes.
- 1 April 1914: Correspondence courses established.
- 6 April 1917: College closes, with the exception of the Library, for the duration of World War I.
- 1 July 1919: First postwar course begins.
- 6 March 1923: Junior course established.

- 1 July 1926: Logistics division established as part of College staff.
- 8 May 1934: Pringle Hall dedicated.
- 1 October 1938: Mahan Library Reading Room completed.
- 25 March 1941: *Navy Department shortens course to six months for duration of national emergency.*
- 13 July 1946: *Year-long courses resume.*
- 20 July 1947: *Logistics course begins under Captain H. E. Eccles.*
- 1 September 1948: First issue published of *Information Service for Officers*, renamed in 1952 *Naval War College Review*.
- 9 May 1949: First Round Table Discussion, forerunner to Current Strategy Forum.
- 10 February 1950: Command and Staff course established for junior class.
- 9 August 1952: First civilian academic chairs named: Ernest J. King Chair of Maritime History, And Chester W. Nimitz Chair of Social and Political Philosophy.
- 19 April 1956: Navy Department approves establishment of Naval Command course for international officers.
- 2 June 1959: War Gaming Department established in Sims Hall.
- 21 April 1960: First Military-Media Conference.
- 18 August 1962: George Washington University cooperative graduate degree program established, with 180 Naval War College students.
- 10 September 1964: Extension to Mahan Library opened for library stacks.
- 3 April 1965: College reorganized around School of Naval Warfare, School of Command and Staff, and Correspondence School.
- 5 May 1967: First meeting of Board of Advisors.
- 14 July 1968: First senior officers executive management course begins.
- 28 November 1968: Navy Department approves expansion of student body and construction of new

Buildings by 1980.

- 1 September 1969: First military chair established, the Chair of Air Strike Warfare.
- 7 August 1972: Naval Staff course begins for intermediate-grade international students.
- 15 August 1972: Naval War College Bookstore opens.
- 24 August 1972: Vice Admiral Stansfield Turner announces establishment of new curriculum and Creation of three academic departments: Strategy, Management, and Tactics.
- 7 December 1972: Spruance Hall dedicated.
- 28 March 1974: Conolly Hall dedicated.
- 1 March 1975: Center for Advanced Research established, reflecting the addition of research to the mission statement.
- 28 April 1976: Hewitt Hall dedicated. Library moved from Mahan Hall to new quarters in Hewitt Hall.
- 26 May 1978: Founders Hall dedicated as College museum.
- 1 July 1981: Center for Naval Warfare Studies established.
- 7 April 1983: First post-command Integrated Warfare Course established.
- 6 October 1984: 100<sup>th</sup> anniversary of the Naval War College.
- 27 March 1991: Accredited to award Master of Arts Degree in National Security and Strategic Studies.
- 30 April 1994: Installation of College Computer Network completed.
- 2 May 1994: Initial plans submitted for Strategic Maritime Research Center.
- March 1996: Major revision to JMO curriculum and educational methodology.
- 14 May 1998: Naval War College's mission expanded as the Chief of Naval Operations establishes the Navy Warfare Development Command under the Command of the President, NWC.
- June 1999: 50<sup>th</sup> anniversary of the Secretary of the Navy's Current Strategy Forum at the

Naval War College.

August 1999: Naval Operational Planner Course and the Mahan Scholars Program begin.

September 1999: NWC-NPS partnership for JPME, Phase I initiated.

27 September 1999: Strategic Maritime Research Center, McCarty Little Hall, dedicated.

18 May 2001: The Commission for Institutions of Higher Education of the New England Association of Schools and Colleges approves the extension of the masters Program to the Fleet Seminar Program.

September 2001: First increment of the College's Web-enabled correspondence course fielded.

1 October 2001: Command of the Navy Warfare Development Command transfers to Commander, Fleet Forces Command affecting the Naval War College's mission.

July 2002: President approves renaming the College of Continuing Education to the College of Distance Education.

May 2003: College of Naval Warfare's accreditation for JPME, Phase I reaffirmed.

August 2003: Halsey Group Program begins.

October 2003: College of Naval Command and Staff's and College of Distance Education's Accreditation for JPME, Phase I reaffirmed.

February 2004: The CD-ROM based Correspondence Program accredited for JPME, Phase I.

August 2004: Proof-of-concept for the Naval Staff College ten-month program begins.

March 2005: Proof-of-concept for JPME, Phase II program at NWC begins.

May 2006 – January 2007: Primary PME Course for Officers and Enlisted introduced on-line via NKO

October 2007: College of Operational and Strategic Leadership established

January 2008: Introductory & Basic PME Courses introduced on-line via NKO

October 2008: Senior Enlisted Academy becomes part of the College

May 2009	College of Naval Warfare accredited for JPME, Phase II
6 October 2009:	125 <sup>th</sup> anniversary of the Naval War College
March 2014	Naval Leadership and Ethics Center (formerly Command Leadership School) established as part of the Naval War College

## Introduction

The College has been the subject of several different comprehensive reviews over the past few years. In 2009, NWC completed two self-assessments and published two respective self-studies for the Chairman of the Joint Chiefs of Staff (CJCS) accreditation. In 2010 the House Armed Services Committee completed an extensive review of all Professional Military Education (PME) institutions across the country. Their report, *Another Crossroads? Professional Military Education Two Decades after the Goldwater-Nichols Act and the Skelton Panel*, focused on changes in the PME system since the original Skelton Panel report and was a critical analysis of each institution as well as the overall program. Another review involved a curriculum review focused on nuclear content within the courses in response to the recommendation of a panel headed by former Secretary of Defense Schlesinger. In 2012 and 2013, NWC participated in a detailed review of joint education directed by the Chairman of the Joint Chiefs of Staff. In 2013, the US Government Accountability Office (GAO) completed a wide-ranging review of the Naval War College and the other PME institutions with a focus on research capabilities and competencies.

In the winter of Academic Year 2012-13, the staff and faculty at the US Naval War College began self-assessments as a part of a larger process in order to prepare for several on-site evaluations occurring in succession. The first of these was the US Naval Inspector General (IG) Team that visited the College during the summer of 2013. The self-study for NEASC CIHE was the second. In 2015, the College will have on-site teams to review how the College delivers joint education in accordance with the Chairman of the Joint Chiefs of Staff' guidance provided by the Officer Professional Military Education Policy (OPMEP).

To meet the requirements for this series of inter-connected external reviews, the NWC leadership used existing committees or re-purposed teams to conduct the necessary work for all three external reviews. The goal was to provide continuity of effort while ensuring those conducting the assessment clearly involved personnel in the necessary positions to affect positive change.

As always, the self-study has been a useful tool for each of us to do a critical review of our areas of concentration in order to make improvements that will help the institution. This was a joint effort by faculty and staff throughout the College.

## **Goals of the Self-Study Process**

The following goals were developed for this review:

1. Show that USNWC meets or exceeds all of the NEASC CIHE Standards for accreditation and achieve reaffirmation.
2. Show that USNWC meets and complies with all of the applicable Federal Regulations relating to Title IV.
3. Involve the stakeholders and encourage participation by staff, faculty, and students in the self-study process.
4. Take a critical look at existing policies, programs and procedures to ensure they are in compliance with NEASC CIHE Standards.
5. Use the self-study process as an opportunity for the institution to grow and mature and become better overall.

## **Institutional Overview**

### **Institutional Character and Purpose**

October 6, 1884, Secretary of the Navy William E. Chandler signed General Order 325, which began by stating: "*A college is hereby established for an advanced course of professional study for naval officers, to be known as the Naval War College.*" The United States Naval War College holds fast to the belief, first articulated by its Founding President, Rear Admiral Stephen Bleeker Luce, USN that "*The War College is a place of original research on all questions relating to war and to statesmanship connected with war, or the prevention of war.*" Vice Admiral Stansfield Turner, USN, added focus and specificity to that depiction of the character of the institution when he said, "*Any new improvement in the College's courses of instruction must support the objective of the Naval War College, which is to enhance the capability of naval officers to make sound decisions in both command and management positions. To do this the College will emphasize intellectual development and academic excellence.*"

The intent of Luce and Turner constitute the strategic tradition and purpose of the Naval War College and are the driving force of the College's approach to its mission. As the Navy's only professional military education institution, the College provides for career-long educational opportunities related to the mission of the naval service and supports the professional and personal growth of all Sailors, officer and enlisted. The heart of that system is the College's resident programs, senior and intermediate-level professional military education, educating career officers from each of the military services as well as senior level civilians in the federal service and their military counterparts from other services and partner nations around the world. These students arrive at the College with 10 to 20 years of experience in the profession of arms, or in the national security arena. They have been selected to attend because of their superb performance and demonstrated potential for further service and greater responsibility. The intermediate and senior-level courses at the College, which are accredited for a Master of Arts degree in national security and strategic studies, are not intended to prepare these leaders for a specific follow-on assignment, but rather to prepare them for the challenges of operational and/or strategic level leadership over the remainder of their careers.

But not every officer has the opportunity to study war in the resident program at Newport. The Naval War College recognized this fact early on and saw the importance of bringing professional military education to military officers where they live and work. On 1 April 1914, the Secretary of the Navy (SECNAV) issued General Order No. 89. This Order affirmed "*The Naval War College is prepared to conduct extension courses by correspondence for the benefit of officers who are not at present available for attendance at the College.*" That practice continues today in the form of four non-resident, intermediate-level programs which enroll over four thousand officers annually. Each of these programs, like the resident programs, are accredited by the Chairman, Joint Chiefs of Staff with meeting the statutory and policy requirements for joint professional military education.

### **Special Areas of Emphasis**

On April 20, 2010, the Commission on Institution of Higher Education of the New England Association of Schools and Colleges continued the Naval War College in accreditation. The Commission requested the College give emphasis in its continued success in: (1)



establishing and working effectively with the newly constituted Board of Advisors; (2) ensuring the physical resources of the college are sufficient, with particular focus on library and information resources.

### **Developing the Board of Advisors**

The reconstituted Board of Advisors is chartered with its responsibilities well addressed. The Board oversees both the Naval War College and the Naval Postgraduate School, and makes its reports to the Chief of Naval Operations (CNO) and the Secretary of the Navy. The Board has two subcommittees; one focused on each institution. Meetings are normally scheduled twice yearly, once at each respective institution and once in Washington, D.C. At the latter, the consolidated members meet with the leaders from both institutions. Board members are apprised on strategic planning efforts, future resourcing, current mission performance, and the results of external reviews and internal assessments. The dialogue informs the NWC President and senior staff, providing useful perspectives and insights that assist in refining the College's approach to its key challenges.

For the last two Presidents the Board has been a source of beneficial perspective and insight, especially from the members with significant experience in advanced education. Likewise, the Provost and Deans have found that the discussions with Board members often provide constructive advice in managing key challenges and sustaining overall excellence. Board members' expansive professional networks have proven to be most useful, on more than one occasion.

However, the College has not yet reaped the full benefit of the Board of Advisors, as there have been several impediments to conducting meetings on a regular schedule. The effects of sequestration, and the resulting reduced budget for travel, adversely affected these meetings. Additionally, the bureaucratic process for annual recertification for each Board member has, on occasion, created delays forcing postponement or cancellation of some Board meetings. Finally, events at the Naval Postgraduate School have required particular focus by the Board over the past three years, to assist with significant challenges.

### **Ensure the Physical Resources of the College Fulfill the Mission of the Institution**

There has been significant improvement to the College's facilities, especially the historic buildings where four of the five buildings have had major renovations since 2006. The fifth historic building is too costly to renovate, but more than \$1.5M in critical repairs have been accomplished. Six of the modern buildings have also had major renovations since 2008.

In terms of technological resources, NWC has also made significant improvements over the last decade. Investments were made to upgrade the College's major equipment which facilitated sustaining essential connectivity throughout the Department of Defense (DoD) on a .mil network, yet introducing the .edu regime as the College's principle information network. Additionally, the College has significantly expanded the core of our communal learning management system for resident and non-resident programs. Chapter eight of this self-study addresses both of these areas in more detail.

During June and July, the College's library resources were moved to temporary locations on campus, for the period of construction of the College's new learning commons. This \$12.4M

project will create a modern learning environment to better meet the educational requirements of faculty and students. The project fulfills the design created by the NWC community and addresses space for study and collaboration, in an up-to-date technological setting. When completed, the College will again house its entire collection on campus. Chapter seven provides a broader treatment of this area.

### **Major Institutional Changes**

Since the last accreditation under the standards of the Commission on Higher Education, the Naval War College expanded its mission, wrote a new strategic plan, strengthened its governance, and increased its educational outreach. The NWC led the way in updating and creating new governing and coordinating documents. The College updated the mission, functions, and tasks (MFT), with approval from the CNO, resulting in a new MFT statement (OPNAVINST 5450.207D) in May 2012, which served as a source document for the completion of the strategic planning process. The NWC also provided contributions to the development of *The Navy Leader Development Strategy*, the *Navy Education Strategy 2025*, and the CJCS-directed *Joint Education Review*, between June 2011 and February 2014, which had direct implications for the College's mission.

In 2006, the College fielded the revised senior-level and intermediate-level courses. NWC and the Navy established two distinct sets of outcomes for these programs. While both continued to focus on national security and strategic studies, the intent was to create two separate educational experiences. The process of creating the initial curricula for each took nearly two years for the faculty to complete. The initial offerings were well-received proving to be viable in the judgment of the students, faculty, and leadership. Faculty members continued to refine the curricula, having the focus of the courses with a goal of improving the students' mastery of the educational outcomes. By last academic year, the faculty believed that the curriculum for both programs had suitably matured to consider awarding two distinct degrees. The College hopes to receive approval to award separate Master of Arts degrees as a result of this self-study review.

In support of the U.S. Navy and the nation, the College expanded its efforts to support the Navy's operating forces in their effort to build expertise at the operational level of war. This resulted in the establishment, and expansion, of the College of Operational and Strategic Leadership, to support fleet readiness with non-degree courses. Furthermore, in an effort to meet the challenges in the contemporary international environment, the NWC created the China Maritime Studies Institute (CMSI) in 2006. CMSI was created to increase knowledge and understanding of the maritime dimensions of China's rise.

The NWC has further increased the scope of its mission. It has been given responsibility for Navy enlisted Sailor Professional Military Education (PME). The Senior Enlisted Academy is now integral to the College and is the final PME experience for most enlisted leaders. The educational outcomes for the Senior Enlisted Academy (SEA) were initially approved by the Master Chief Petty Officer of the Navy (MCPON) and the Fleet Governing Board, and subsequently by the Navy's Advanced Education Review Board (AERB). Additionally, in May 2014 the Naval War College stood up the Navy Leadership and Ethics Command, which will

create courses and educational material that will have an impact across the fleet for leader development and ethical decision making.

### **Net Assessment**

The Naval War College believes that it has conducted a thorough assessment of where it stands now and where it needs to go in the future, especially with respect to maintaining rigorous and substantive courses of study that are both relevant and current in support of the Master of Arts Programs, Joint Professional Military Education (JPME), and Naval Professional Military Education (NPME).

**"DATA FIRST" FORMS**  
**GENERAL INFORMATION**

Institution Name:

OPE ID:

Financial Results for Year Ending:		Annual Audit	
		Certified: Yes/No	Qualified Unqualified
Most Recent Year	<input type="text"/>	<input type="text"/>	<input type="text"/>
1 Year Prior	-	<input type="text"/>	<input type="text"/>
2 Years Prior	-	<input type="text"/>	<input type="text"/>

Fiscal Year Ends on:  (month/day)

Budget / Plans

Current Year -

Next Year -

Contact Person:

Title:

Telephone No:

E-mail address

## **Chapter 1- Mission and Purposes**

### **Description**

Over the period of the last ten years, the role of the Naval War College (NWC) has significantly evolved. Foremost, the educational reach of the College expanded significantly as the Navy directed NWC develop and field the courses required to implement a Navy professional military education continuum of career-long learning for all sailors, officer and enlisted. Congress amended the law extending the opportunity for the Services' war colleges to deliver joint professional military education, phase II with their resident senior-level course, which required the development of two distinct curricula for intermediate and senior officers, respectively. The Navy adopted a new approach to global command and control of maritime forces by implementing maritime operations centers and highlighting the requirement for increased expertise at the operational level of war. The College was assigned the overall lead for the operational level of war education in support of the fleet maritime operations centers for senior enlisted personnel, officers and flag officers. The College was also assigned responsibility for the joint warfighting components of Navy flag officer development.

International engagement with partner nations became increasingly important after the United States began the war on terror following the attack of September 11, 2001. With the publication of *A Cooperative Strategy for 21<sup>st</sup> Century Seapower* in October of 2007, the strengthening of global maritime partnerships became mission-critical to fulfilling its maritime strategic concept. Subsequently, the Chief of Naval Operations (CNO) informed the President, Naval War College that the Navy would leverage the credibility and trust built through the College's international programs to meet the challenges ahead; the CNO endorsed the College's efforts to build an even more robust regionally-oriented engagement effort.

In 2003, the College reported to the Naval Inspector General during its on-site inspection that NWC research, gaming, and analysis capacity was under-utilized. For the Naval Inspector General visit in 2013, the College reported that it lacked the resources to meet the demand, especially for its wargaming activities. The College employs various types of wargaming and other research methodologies to assist the operating fleets, as well as Navy leadership and a host of joint, interagency, and international collaborators in developing strategies and solutions to their most complex problems. Its research capacity is also fully engaged exploring current and emerging concepts such as mission command, Air-Sea Battle, cyberspace and a refocus on the Asia-Pacific area.

The emerging larger role for the College resulted in several iterations of the mission, the last occurring in 2009. During the period of October 2011 to January 2012, the College again reviewed and revised its mission, functions and tasks. The draft directive for the revised mission, functions and tasks was submitted to the Office of the Chief of Naval Operations for review, approval and signature. Working with the Director, Navy Staff, the College subsequently made some refinements in the wording of the international engagement function. On 23 May 2012, the mission directive was approved and published.

## **Mission**

The mission of the Naval War College is expressed in its 17-page Mission, Functions, and Tasks statement (OPNAVINST 54.027D).

The mission of the U.S. Naval War College is to:

**Educate and Develop Leaders.** Naval War College shall provide current, rigorous and relevant professional military education (PME) programs supporting the Navy's Professional Military Education Continuum. These PME programs must meet the standards required in law and policy and be accessible to the maximum number of qualified U.S. officers and Navy enlisted personnel, civilian employees of the U.S. Government, and international senior enlisted leaders and officers. The education should foster an active and growing community linked by PME including leadership with professional ethics that furthers global maritime security. The desired effect is a career continuum of PME, including leadership development and professional ethics, which produces a group of leaders of character. These leaders have trust and confidence in each other and are operationally and strategically minded, critical thinkers, proficient in joint matters, and skilled naval and joint warfighters prepared to meet the operational level of war (OLW) and strategic challenges of today and tomorrow.

**Support Defining the Future Navy and Associated Roles and Missions.** Naval War College shall conduct research, analysis, and gaming to support the requirements of the Secretary of the Navy, the CNO, the combatant commanders, the Navy component commanders, the Navy's numbered fleet commanders, other Navy and Marine Corps commanders, the U.S. intelligence community, and other departments and agencies of the U.S. Government. The desired effect is a program of focused, forward-thinking and timely research, analysis, and gaming that anticipates future operational and strategic challenges; develops and assesses strategic and operational concepts to overcome those challenges; assesses the risk associated with these concepts; provides analytical products that inform the Navy's leadership and help shape key decisions; and contributes effectively to the public discourse on U.S. national security policy.

**Support Combat Readiness.** Naval War College shall conduct operational level of war education, leadership and professional ethics training, education, and assessment activities to support the ability of the Navy's joint force maritime component commanders (JFMCCs) and Navy component commanders to function effectively as operational commanders. This effort shall include supporting the needs of joint force commanders, Navy component commanders, and the Navy's numbered fleet commanders for including operational planning, analysis, assessment, and wargaming to respond to emerging operational requirements. The desired effect is to improve the capability of Navy commanders to lead maritime, joint and combined forces; and their staff members to plan, execute, and assess force employment options in order to function cohesively within the context of an operational level maritime staff.

**Strengthen Global Maritime Partnerships.** Naval War College shall bring together flag, senior and intermediate level naval leaders from other countries to develop them for high command in their navies; promote an open exchange of views between international security professionals which encourages friendship and cooperation and builds trust and confidence; and study operational planning methods and common maritime security challenges. Naval War

College shall develop research and gaming collaboration with its sister institutions in other navies and work to improve the general level of maritime research and analysis. The desired effect is to maintain and further strengthen the global maritime partnerships upon which the safety of the U.S. homeland and the secure flow of oceanic commerce depend.

**Provide Mission Support.** To accomplish its mission, functions, and tasks, Naval War College will manage and administer its human, physical, and financial resources per Department of the Navy, higher headquarters, and internal guidance in a manner that makes it an exemplary steward of the resources entrusted to the College and fully accomplishes our mission both efficiently and effectively.

The mission directive includes sixty-five, specific tasks the College must perform to accomplish the five mission functions listed above. Even though there was significant growth in the College's mission over the last decade, there is significant continuity in many of these tasks, especially those related to the education and development of leaders. NWC is the Navy's only organization that is Congressionally approved to conduct joint professional military education. Many of the College's mission tasks related to education of leaders fulfill the Navy's obligation under statutes, federal policies, or regulations. Many of the College's efforts are directed at requirements levied by the Department of Defense (DoD). Others respond to directions from the Department of the Navy (DON) or the Chief of Naval Operations (CNO).

Moreover, much of the College's endeavors reflect its strategic tradition which is embedded into the organizational culture and illustrated by the actions of the faculty and staff. NWC was founded 130 years ago to strengthen the profession of arms, specifically the naval profession. Our founder, Rear Admiral Stephen B. Luce, USN described it as "a place of original research on all questions relating to war and to statesmanship connected to war, or the prevention of war." That remains today the principal focus of the College and permeates the mission and its many tasks. It remains an essential element of the Naval War College Vision as published in the current strategic plan.

The College's mission appears in all of the key published documents including the faculty and student handbooks, the catalog, the strategic plan, and on the College's internet and intranet site. Students, faculty, and staff are briefed on it during their respective orientation programs.

## **Appraisal**

NWC is responsible for fulfilling the Navy's statutory and policy-driven educational requirements for joint professional military education. The intermediate-level and senior-level academic programs, which are also the M.A, degree programs, must be accredited for joint professional military education by the Chairman, Joint Chiefs of Staff. The College's mission is examined as part of that accreditation process. Through that process, in 2004, 2006, and 2009, CJCS deemed the mission suitable for the standards.

The Naval Inspector General's review of the NWC in their on-site visit in July and August of 2013 closely examined the NWC mission and the College's efforts in fulfilling it. Particular attention was paid to the educational element of the mission and the report indicated the NWC was successful in accomplishing the College's mission elements.

The Navy funds the NWC's mission requirements. Sufficient resources are normally assigned for successful mission accomplishment. However, during the financial planning process, past spending trends are carefully scrutinized to ensure expenses are directly related to mission requirements. Likewise, plans for future fiscal years are scrubbed carefully to ensure requests are reasonable and focused on validated requirements. Thus, every year the NWC leadership must closely assess the mission and ensure it accurately portrays the College's efforts and aims. Assessment on mission progress relies on the informed judgment of the deans and the director of mission support. They utilize a variety of tools to reach their conclusions including survey data, direct feedback from those involved with their mission activities (collected formally and informally), discussions with the recipients of the College's products (e.g. war games, research papers, graduates of the NWC educational programs, etc.), and a dialogue with the senior Navy leadership. Annually, mission accomplishment is carefully reviewed at the fiscal mid-year point in order to consider any necessary realignment of the budget, and at year's end in preparation for the start of the next financial planning cycle.

For the period of 2008-2012, the College's strategic plan focused foremost on consolidating our capacity for executing the expanded mission, functions, and tasks realized during the period 2004-2009. By design, the goals in that plan and their supporting objectives were directly related to the mission and its key functions. Its other priorities were: to solidify our regional studies programs and expand our international outreach; expand our capacity for research, analysis and gaming; and accelerate the modernization and expansion of the College's infrastructure. Our efforts in those areas yielded significant results. Except for fiscal years 2011 and 2013, when the College's resources shrank significantly, we sustained a mission capable status in nearly all of our mission tasks. Our regional expertise, focus, and outreach improved significantly, as did our educational outreach. Demand for our organizational research, analysis, and gaming increased annually and ultimately required careful prioritization as the requirements outgrew our capacity for support. While exacerbating the shortage of interior space, repair and modernization of the College's buildings occurred at the quickest pace since the 1970's. The College also incorporated several buildings on and off Coasters Harbor Island to partially rectify the space shortage and to permit temporary relocations of personnel during the building modernization. The key project addressing the insufficiency in student study and collaboration space and modernization of our library and other knowledge resources begins in 2014. Our requirement for a new building remains unprogrammed. A more detailed discussion of mission progress during that period is located in Appendix C of the College's current strategic plan.

Since the federal funding process is forward-looking, the leadership must not only carefully evaluate current year mission execution, but project forward two years and plan for funding resources for a subsequent five-year period. In the fall of 2014, the NWC will plan and submit its input for funding for the period of fiscal year 2017 to 2022. This financial planning process serves as a perennial forcing function for mission assessment, prioritization, and identification of future priorities. This process relies on a bottom-up analysis by the College's talented faculty and staff in projecting their future requirements and priorities for sustaining and improving NWC.

NWC suffered a significant reduction in funding for fiscal year 2011. In fact, the original allocation was insufficient for either accomplishing the mission or meeting annual payroll expenses. The President presented his dilemma to the Advanced Education Review Board and



additional funding was assigned to permit sustained success in the education mission tasks as well as selected key tasks in other mission areas; the increased funding permitted partial mission accomplishment in many of the other mission tasks. One of the benefits of this fiscally austere year was that it required the College community to carefully assess and prioritize our activities. College leaders were faced with hard choices and sharply focused on prioritizing only mission-related tasks. Even then, those efforts had to be carefully tailored to match available resources. This significant assessment immediately preceded our effort to produce a revised mission statement and greatly facilitated clarifying the College's current mission.

Each of the core mission functions contains a general description of the requirements and of the desired effects of our mission exertions. The desired effects provide our faculty and staff a standard for gauging the effectiveness of their efforts and the contribution the College is making to the professional communities, Navy, and nation that it serves.

After examining the lessons of a decade at war, the Chairman, Joint Chiefs of Staff, and the Chief of Naval Operations have recently provided revised guidance for their expectations for successful leaders in the dynamic and complex contemporary environment. The Chairman issued his expectations in a White Paper and directed a review of joint education to ensure the educational requirements were focused on developing the attributes necessary for successful leaders. The Chief of Naval Operations published a *Navy Education Strategy 2025* and *The Navy Leader Development Strategy* in 2013. After having reviewed those documents, the NWC will make some adjustments to its educational outcomes and programs, but this will principally be refinements as the faculty had already perceived the lessons learned and emerging concepts and embedded them in the academic programs.

Because the College's principal business is centered on producing and imparting knowledge, the people directly responsible for that activity must remain the institution's first priority. While all mission areas must be accomplished in an excellent manner, developing strategic and operational leaders through a rigorous residence curriculum provides the foundation for non-resident education and plays a major role in supporting combat readiness and strengthening maritime security cooperation, thus this mission area must be a major focus of attention as it is the anchor of the Navy's PME Continuum. Due to the deeply interconnected nature of the College's complementary mission areas and its impact on the Navy and nation, helping the CNO define the future Navy and its roles and missions must also remain a high priority for effort.

## **Projection**

The purpose of the Naval War College remains constant. For more than a century, the College, true to its founding purpose, dedicated itself to the study of war and its prevention. Through that rigorous pursuit, the College has developed three core strengths which are fully integrated into its revised mission. Our strategic and operational expertise continues to prepare students for senior positions of leadership in the armed forces of the United States, in the armed forces of our friends and allies, and in other government agencies. We accomplish that principally through our resident and non-resident senior and intermediate level PME programs, augmented by our flag officer courses, the activities of the Assist and Assess Team, and the five-week Maritime Staff Operators Course. Each of these courses is based on a continuum of

educational outcomes developed for the military and the national security professionals who comprise our students.

That unique strength is also now dedicated to supporting the Navy's combat readiness through a variety of education and assistance programs principally executed by the College of Operational and Strategic Leadership. With the CNO's emphasis on developing increased operational and strategic expertise and the full fielding of the PME Continuum, the emphasis on this element of the mission should continue unabated.

The leadership of the College has held to the belief that a NWC education is intended to prepare graduates for the rest of their professional careers, during which they can be expected to rise to senior positions of responsibility in their services or agencies. The leadership remains strongly committed to this concept today. However, we recognize that the PME Continuum is designed to develop these leaders systematically over the course of a career through a succession of educational opportunities. Preparing them for their increasingly larger duties and responsibilities as they step through a career is equally vital to the Navy's future.

The second core strength remains the College's ability to conduct strategic and operational-level research, analysis and gaming. Through such efforts, NWC continues to help define the future of our Navy. Our key role in assisting with the Sea Services' effort to produce *A Cooperative Strategy for the 21<sup>st</sup> Century Seapower* and with the Navy's Title 10 Wargaming responsibilities is evidence of a return on this investment for the Navy and the nation.

The executive leadership of the College is confident these two key functions of its mission are strong and enduring and will continue to shape its distinctive character for the foreseeable future and that it is accomplishing its mission in this regard. The leadership is also optimistic that the new functions will enrich the military education offered by the College.

The third strength of NWC is the credibility and trust it has built around the world through its international programs. The CNO indicated he views it as a foundation on which to build an even more robust, regionally oriented effort. In the current era when we are cooperating more closely and embracing the capabilities and support of other maritime nations, NWC's mission has rightfully evolved to reflect changes in the international security environment.

While the College believes it has responded responsibly to the changes in the international security environment and has properly aligned the new mission, functions and tasks, it remains imperative to retain the culture of assessment that pervades the institution. Only through such a self-critical lens can the College sustain its relevance to its students, the Navy, and the nation.

**Standard 1: Mission and Purposes**

Attach a copy of the current mission statement.

Document	URL	Date Approved by the Governing Board
Institutional Mission Statement	<a href="http://www.usnwc.edu/About/Missions.aspx">http://www.usnwc.edu/About/Missions.aspx</a>	05/23/12

Mission Statement published	URL	Print Publication
Mission, Functions and Tasks of the Naval War College	<a href="https://www.usnwc.edu/About/Missions.aspx">https://www.usnwc.edu/About/Missions.aspx</a>	5/23/12
3		
4.		

Related statements	URL	Print Publication
Faculty Handbook	<a href="http://www.usnwc.edu/About/Fast-Facts.aspx">http://www.usnwc.edu/About/Fast-Facts.aspx</a>	4/1/13
Student Handbook	<a href="http://www.usnwc.edu/About/Fast-Facts.aspx">http://www.usnwc.edu/About/Fast-Facts.aspx</a>	8/1/13
Navy Leader Development Strategy	<a href="http://www.usnwc.edu/About/Fast-Facts.aspx">http://www.usnwc.edu/About/Fast-Facts.aspx</a>	8/1/14
Fast Facts		

## **Chapter 2 -- Planning and Evaluation**

### **Description**

One of the distinguishing characteristics of the Naval War College is its institutional culture of self-improvement. Faculty, staff, and students know the study of war and its prevention is critical to the security of the nation and its citizens. The College's mission involves serious business that may well bear directly on the lives of the students and on those they are entrusted to lead. Faculty, staff, and leadership at NWC are dedicated to providing the best possible opportunity for the professional students to realize the maximum potential of this educational opportunity. For these leaders, their most potent weapon is their minds and the ability to think critically and creatively about challenges to international security, in the abstract and in real time. A culture of self-improvement is founded on solid plans, their agile implementation, and constant assessment of the progress and results of those actions. Personnel throughout NWC are routinely engaged in such activities through formal and informal processes.

### **Planning**

Open and transparent decision making are essential to managing a complex professional military educational institution, especially during a period of significant growth. NWC maintains a planning system with both a near term and a longer term focus. Both are well disciplined processes that provide stakeholders throughout NWC the chance to provide substantive input and periodic assessments of progress. Provided with quantitative and qualitative data as well as their own personal observations, NWC leadership has opportunities to reassess, reprioritize, and reassign resources to meet dynamic requirements. This flexibility is critically important during periods of fiscal uncertainty and budget instability.

The College has a proven strategic planning system that provides direction through a unifying vision, a set of institutional values, and a set of clearly defined goals. The strategic planning process benefits from a robust system of continuous evaluation, from a wide range of internal and external sources, from systematic planning at nearly every level, and from the implementation of annual objectives through committees who monitor and report progress. Personnel throughout the College are provided opportunities to review and comment on the draft strategic plan, and the supporting draft objectives which are crafted annually. Currently under the coordination of the Associate Provost, the planning group includes the Deputy/Chief of Staff, and the deans. The Chief Information Officer, the Comptroller, and the Facilities Director as well as other key personnel are often included in the planning and monitoring process. Routinely, this group meets with the President and the Provost to gauge progress on the President's priorities, discuss key strategic issues, and, when required, make adjustments.

This longer term planning focus is consistently at least five to seven years in the future and coincides with the planning horizon for the federal budgeting system explained in chapter nine of this document. As each academic year ends, the College is completing its formal assessments in preparation for both the near and far term planning processes. That data supports a formal self-assessment on the status of the mission objectives and the objectives supporting the goals of the strategic plan. After gauging progress, College

leadership formulates the budget submission for future years in alignment with the College's plans and priorities.

Typically, each strategic plan contains the College's mission, vision, guiding principles, and strategic goals. The strategic goals are areas identified requiring action and resources. For each goal of the current strategic plan, a committee of faculty and staff members has been assigned to draft annual objectives. Those draft objectives are critically reviewed by the NWC community in a series of facilitated sessions designed to capture feedback. Goal leaders and their committees refine and submit the objectives in priority order to the planning group which recommends a comprehensive prioritization of objectives to the President for approval. Goal teams then establish a schedule for completion, and periodically report progress to the planning group. As the framework for managing positive change and keeping pace with the financial planning process, these five-year plans are reviewed and updated annually. The Associate Provost serves as the President's special advisor for monitoring and assessing the execution of the plan.

Appendix A of the *U.S. Naval War College Strategic Plan 2014-2018* outlines the process and the six phases used to construct this plan. Together, these planning processes align mission and vision with resources. Equally important, they engage faculty and staff from every aspect of the College's operations in the planning process. The annual redrafting of the objectives creates opportunities to reengage the NWC community more frequently than in the past. The yearly review also permits the flexibility necessary to navigate the federal government's uncertain financial future and a formal means to engage the full potential of the faculty and staff in assisting the NWC leadership in addressing unstable budgets and resources.

The academic year and the federal government's fiscal year serve as the College's horizon for shorter-term planning. Planning for execution of the next academic year initially begins about two years in advance by establishing the dates for graduation and orientation for the Navy's Bureau of Personnel who select and assign Navy students. Planning begins in earnest with the drafting of the academic calendar, which is generally approved by February. The calendar establishes the number of teaching days for each core academic course, allowing the faculty to design and refine the curriculum for the respective courses. For the NWC leadership, financial planning for the next fiscal year begins early in the calendar year with high-level discussions of the upcoming budget. The larger NWC audience is engaged in the May-June time-frame with draft budgets and projected spending plans for the next fiscal year. After a series of iterations, the Comptroller submits the recommended budget to the planning group, then to the Provost, and finally to the President for approval.

While the College's planning process is somewhat complicated by this misalignment of academic and fiscal years, it is well understood by the entire College community. Instability in the resource allocation process for one fiscal year normally affects two academic years, as much of the support for the first two trimesters of the next academic year are funded during the current fiscal year.

## Evaluation

The evaluation process continuously seeks to assess the institution's achievement of its mission; analyze the information collected through its assessment programs; and, apply the insights from this analysis to the planning processes to achieve improved results. The College's assessment process uses both internal and external sources to evaluate achievement of its mission, with particular emphasis on educational objectives. Participants in this process include all students and faculty, alumni, the mission support staff, the Board of Advisors, recognized experts in relevant fields of study, and users of College facilities and products.

The College practices a two-tiered form of internal evaluation. Academic departments, mission support organizations, and single or special event coordinators are responsible for ascertaining the effectiveness of their activities. They do so through a variety of means, chiefly quantitative, but they also use formal and informal qualitative feedback. These organizations collect and analyze their own data, use it for improving their operations, and brief the College's executive leadership on the results and their planned actions. Under the auspices of the Associate Provost, the College also employs several institution-wide methods to collect data and then assesses it to gauge the overall effectiveness of the College's educational and co-curricular programs. This data, also collected through formal and informal means, is analyzed and provided to the collective academic leadership chiefly through the venue of the Academic Policy Council and the strategic planning discussions routinely undertaken by the leadership.

This mode of evaluation spreads the responsibility for assessment and improvement throughout the College's community, involving its members in assessment and empowering them to develop improvements. By endeavoring to function as a learning organization, the NWC seeks to further integrate assessment and improvement into the College's routine business. Together, the data from these sources provide a comprehensive view of the College's effectiveness in achieving its mission, functions, and tasks.

As a Navy and federal institution, the College undergoes regular routine scrutiny (monthly, quarterly, semiannually, and annually) of many activities supporting the academic mission and periodically more comprehensive reviews that carefully examine the manner in which the NWC performs its mission, especially its educational responsibilities. Recently, the College has been the subject of several external reviews. In 2009, the NWC completed two self-assessments and published two respective self-studies for the Chairman of the Joint Chiefs of Staff (CJCS) accreditation for joint professional military education, phases I and II. In 2010 the House Armed Services Committee completed an extensive review of all professional military education (PME) institutions across the country. Their report, *Another Crossroads? Professional Military Education Two Decades after the Goldwater-Nichols Act and the Skelton Panel*, focused on changes in the PME system since the original Skelton Panel report and was a critical analysis of each institution as well as the overall program. Another review involved a curriculum review focused on nuclear content within the courses, in response to the recommendation of a panel headed by former Secretary of Defense Schlesinger. In 2012 and 2013, the NWC participated in a detailed review of joint education directed by the Chairman of the Joint Chiefs of Staff. In 2013, the US Government Accountability Office (GAO) completed a wide-ranging review of the NWC and the other PME institutions with a focus on research

capabilities and competencies. For three weeks in July and August 2013, the NWC hosted an on-site evaluation team from the Office of the Naval Inspector General designed to provide the Secretary of the Navy with a firsthand assessment of the DON risks; major issues relevant to policy, management, and direction; and an overall assessment of the NWC's mission success.

### **Assessment of Students**

Evaluating student performance is essential in judging the extent to which the College achieves its educational function of enhancing the professional capabilities of its students to meet the nation's national security challenges as leaders and decision makers. During the period of 2004-2005, the faculty and NWC leadership, reacting to the guidance from the Chief of Naval Operations to create two distinct educational opportunities, drafted a set of educational outcomes from graduates of the senior-level College of Naval Warfare and intermediate-level resident and non-resident programs. The President personally visited admirals, and some generals, in Navy and joint leadership positions to discuss the projected Navy PME Continuum and the proposed draft outcomes for the graduates. Their feedback, and subsequent input from faculty members as they designed the courses, led to the refinement of the educational outcomes. In May of 2005, the Vice Chief of Naval Operations meeting with the precursor to the Advanced Education Review Board approved the recommended outcomes. Those outcomes drove the design of the curricula for the fielding of the revised courses in August of 2006.

Since that academic year, the College has been transitioning from a curriculum design-based focus on learning objectives to an emphasis on assessment-based understanding of actual student learning outcomes. Faculty in the core academic departments have gained significant understanding of the latter and, for the most part, have developed course outcomes related to the overall educational outcomes. Measuring student learning outcomes directly is accomplished through a combination of traditional graded events, such as papers and examinations, as well as ungraded events, to measure student and course achievement. Two of the three departments end their courses with capstone events requiring students, individually and collectively, to apply their knowledge in practical exercises, where student learning outcomes are visible to the faculty. The third department uses an incremental process to evaluate the progress of students in applying the course's analytical constructs through a series of essays and a comprehensive exam. Elective courses, although graded on a High Pass/Pass/Fail basis, also require either examinations or papers. The number and form of graded events varies by department and changes as the curriculum evolves; but these events consistently include both research papers and comprehensive examinations. Additionally, students are evaluated daily on their contributions in seminar. Since they meet frequently over a period of eleven to fifteen weeks with the same faculty members, this direct observation is most insightful in gauging mastery of educational outcomes.

Equally important in assessing both student performance and curriculum design, numerous ungraded exercises are scheduled throughout the academic year, such as; simulations, individual and group presentations, and role playing. These events are designed to determine how effectively students have assimilated, and can synthesize and employ, the material presented in the curriculum. The combination of graded and un-graded events provides the faculty with substantial evidence of student achievement, and the students with substantive and continuous

feedback regarding their progress. The non-resident graduate program, the Fleet Seminar Program, uses similar methods. Students are evaluated on a series of graded essays, contributions, and proctored final examinations.

Over the last several years, the NWC has also asked these mid-career professional students to judge their own mastery of the respective educational outcomes when they begin their NWC studies and when they graduate. While this is an indirect measurement of outcomes, it is performed by seriously intent professionals who know from personal experience the gravity of their professional decisions and the critical importance of honest self-assessment. Alumni are also formally queried on the effectiveness of their educational experience in preparing them for subsequent challenges.

### **Assessment of Curriculum and Education by Students and Alumni**

Short-term assessment of the curriculum by the students has been a long-standing practice of the College. It has evolved into a continuous, systematic, and comprehensive evaluation program that provides students the means to stimulate significant curriculum revisions. Significant continuity exists in the end-of-course surveys for the core academic programs.

Explicit assessments of the curriculum are routinely provided by all students through questionnaires. These include individual-session or curriculum-block questionnaires completed by students at the conclusion of each seminar to evaluate class utility and materials. Such critiques provide immediate feedback to the faculty responsible for each session's development as well as a continuous indication of the success of the course. A comprehensive end-of-course questionnaire is employed by all academic departments, the Electives Program, the Advanced Research Program, and the non-resident Fleet Seminar Program to solicit student feedback. The anonymous responses from students are compiled into both statistical and narrative summaries, which are reviewed by the faculty and analyzed and interpreted by the departments. This data, along with data from graduating students and alumni, are integral to the NWC's curriculum and program review processes. The results are presented to the NWC President and the Provost.

Student academic committees also provide input on the quality of the educational programs and other issues of concern involving the learning environment. These committees bring student representatives from each seminar into contact with the respective core academic department chairs, course directors, the Associate Dean of Academics for Electives and Directed Research, service advisors, and representatives from the library and Information Resources Department. Meeting at least twice each trimester, these committees ensure that students' issues and administrative problems are addressed immediately or referred to appropriate planning bodies.

Students have informal opportunities to express opinions on the College and its programs to peers, instructors, department chairs, the Provost, and even the President. Student leaders periodically meet with the Dean of Students and the Provost, often to exchange views on the academic or co-curricular programs. The President and other senior leaders occasionally travel with officers in the international programs and use the opportunity to obtain qualitative feedback



about the College.

Annual alumni surveys conducted at intervals of two, five, and seven years after graduation also provide useful data in judging the quality and utility of the education to the careers of professional graduates. These results are provided to the Academic Policy Council in conducting curriculum and program reviews.

Continuing professional and personal relationships between faculty and alumni have proven to be invaluable in validating the quality, relevance, and currency of the curriculum. Informally, these graduates provide unsolicited input on a continuing basis directly to the faculty concerning the value of curriculum material to their subsequent assignments and suggesting improvements in curriculum substance and pedagogy. Even more definitively, the return of graduates to teaching positions at the College greatly enhances the currency of the academic program. E-mail, while informal and anecdotal, has increased the volume of this feedback and its substantive value.

### **Assessment of Curriculum and Education by Faculty**

The faculty systematically assesses how effectively the curriculum contributes to the educational outcomes. Faculty travel is funded to support research and efforts to remain abreast of emerging curriculum topics regarding issues of strategy and national security. Faculty members attend frequent meetings and annual retreats with their respective departments to evaluate curriculum recommendations from department faculty members, chair holders, and other faculty and staff. Student recommendations from session critiques and end-of-course questionnaires are also considered during these meetings and retreats. Results and proposals provide input to the planning process and are reviewed by the Academic Policy Council.

Faculty members also examine the curriculum as it is being delivered, through the workshop process affectionately known locally as “bootstraps.” These faculty workshops are conducted between sessions, allowing the faculty to consider how well students mastered the material from a previous session and introducing alternative approaches to the forthcoming session. Workshops primarily focus on conducting seminars on the curriculum topic. Faculty members use them to share insights and emphasis with their colleagues; however, faculty members also routinely use this forum to exchange personal judgments and student input to the ongoing educational process.

Non-resident faculty also assesses the curricula, academic programs, and academic support. They provide feedback formally and informally to their respective course directors, who participate with the resident faculty in curriculum effectiveness and development meetings and retreats. Additionally, the Fleet Seminar Program is evaluated by on-campus faculty members, who periodically observe non-resident seminars and appraise adjunct faculty, facilities, and student comprehension of course concepts.

## **Assessment of Research, Analysis, and Gaming**

As a research, analysis and gaming organization, the Center for Naval Warfare Studies (CNWS) routinely pursues a variety of assessment methodologies. These include self-assessment of assigned research, analysis and gaming tasks; feedback from students and others exposed to its research; indications that its conceptual development helps the process of transformation across the Navy and Marine Corps; and, data collection regarding research utilization by entities outside of the U.S. military and government.

CNWS routinely assesses all of its research activities in terms of their alignment with the stated objectives of the senior leadership, of the Department of the Navy (DON) and the Department of Defense (DoD). The clearest evidence of that alignment is the consistent flow of research tasking and offers of collaboration received from a wide variety of DON and DoD operational, planning and educational entities. Virtually none of this research, analysis and gaming occurs without outside partners, all of whom provide real-time feedback regarding the rigor, relevance, currency and quality of CNWS work.

Because research in CNWS is inseparable from the education conducted at the College, its research products are linked throughout the educational experience. Ongoing research projects are considered essential to attracting and retaining high-quality faculty. CNWS faculty members regularly offer a wide variety of elective courses, all of which receive organized feedback from students in terms of detailed surveys. The CNWS research agenda is likewise validated by the students through their individual choices of independent research projects undertaken with research faculty mentoring and advice. Moreover, student research is likewise evaluated by teaching staff, offering further feedback to the overall research agenda.

CNWS research is overwhelmingly client-focused; the Center engages in concept development, concept refinement, exercise planning, analysis and experimentation, and background research that contribute to operational and policy changes for sponsors throughout DON and DoD. Evidence of client satisfaction comes in the form of “repeat business” and frequently offered testimonials. Finally, CNWS research products are widely disseminated, allowing for critical feedback from consumers who read the books, monographs, and journal articles produced by the faculty. Research products are consistently cited by senior leaders within DON and DoD as providing unique contributions.

## **Assessment of Support for Students and Quality of Life Issues**

Support organizations within the Naval War College use a variety of means to gather formal and informal feedback on the quality and timeliness of their services. Principal among them are electronic surveys for resident students concerning the effectiveness of support services. The Electives Program and the non-resident end-of-course critiques solicit feedback on the quality of staff support. For many specific events (such as orientation or Informational Program Visits in the College’s international programs), students on campus are asked to provide written critiques. For resident U.S. graduates, the graduation survey elicits a comprehensive view of the quality and value of the co-curricular and support activities, as well as insights into overall quality of life in Newport. Alumni surveys also provide some useful input in the value and

quality of the co-curricular and support activities.

The student organization on campus provides a formal channel for detailed feedback to program administrators for many non-academic activities. Class leaders periodically meet with the Provost to discuss student issues or concerns. Through regular meetings student seminar representatives provide input to the planning and execution of intramural athletics, social events, and recreational activities. Regular meetings of seminar leaders with the Dean of Students serve as integral links for planning, communications, and feedback; non-Navy military students are closely monitored by the respective Service Advisors. Student academic committees also provide an opportunity for them to assess the administrative services and suggest beneficial changes. The distinctive nature of a student body, composed as it is of mid-career professionals with highly developed leadership skills and experience, ensures wide participation and productive dialogue.

### **Assessment of Curriculum, Education, Research, Gaming and Analysis, and Non-academic Programs by the Administration**

The College's leadership also takes a direct role in the assessment process. The President, the Provost, the Dean of Academic Affairs, and the department chairs visit classrooms to observe and actively participate in seminar discussions. These actions both demonstrate interest in the students' progress and allow direct assessment of how well the students synthesize the material and the quality of the presentation of the curriculum. The President and the Provost are directly involved in the planning for conferences and the speakers' program; their active participation in these programs provides direct and timely insight as to the success of individual events. The Academic Policy Council is involved in curricula refinement and weighs the implications of departmental changes on the College's educational outcomes.

The President, the Provost, the Deputy/Chief of Staff, and the Dean of Students are equally involved in the College's co-curricular, athletic, and social activities as well as the business of student support services. Their personal observations inform future planning and funding for these vital activities. The results of programmatic, graduate, and alumni surveys also provide information useful for assessing the overall value of the educational and non-academic programs.

The College's leadership remains deeply committed to the quality of life of its faculty and staff as well as its students. For the College, quality of life is the sum of various programs, processes, and conditions such as co-worker relationships, awards and recognition, meaningful work, working conditions, training and education, handling of grievances, flexible working hours, office equipment and furnishings, command environment, overall communication, and the cohesiveness of leadership. The College periodically administers a "command climate survey" to its faculty and staff to gauge their views on this important subject. The results of the last survey indicated a very positive command climate. The results of the survey were widely circulated to faculty and staff.

The President's personal connection with the Navy's senior leadership coupled with his responsibility to the Chief of Naval Operations for mission accomplishment provide him

valuable and timely insight into emerging issues and key concerns related to the educational needs of the profession. Armed with his knowledge of the College's education programs, he is able to assess the currency and relevance of the educational outcomes and curriculum to development of the Navy's and nation's future leadership. Likewise, the College remains deeply involved in the joint military education process as well as joint policy making for officer education. The President sits as a member of the Military Education Coordination Council, which advises the Chairman of the Joint Chiefs of Staff (CJCS) on this area.

### **Assessment of the Curriculum, Education, and Institution by External Sources**

The College solicits and receives assessment of its programs from several groups and individuals outside the College, including its Board of Advisors, members of the academic community, senior U.S. military leaders, and practitioners of national security and strategic studies. The Board of Advisors is composed of leading figures in the fields of national security studies, international affairs, education and research, public management, and military service. It reflects the multifaceted, interdisciplinary program offered by the College. Board members are briefed on the programs and their desired educational outcomes in order to solicit advice regarding the goals and educational approaches.

The frequent visits of senior military and civilian government officials to present lectures, attend conferences, and participate in war games provide additional opportunities for the faculty to validate the educational product. Small "roundtable" discussions and one-on-one meetings with these visitors, many of whom directly participate in the national security planning and decision-making process, assist the faculty in assessing the relevance and currency of the curriculum. Numerous flag and general officers and senior civilian officials have given generously of their time to discuss ongoing and emerging educational issues. These sessions have verified the central concepts of the curriculum while suggesting areas of possible revision.

Finally, as previously discussed, NWC is periodically inspected by various agencies, including the Government Accounting Office, the Naval Audit Service, the Joint Chiefs of Staff, and the Naval Inspector General. These formal reviews, individually and collectively, assess accomplishment of the College's mission, compliance with the law and with DoD and DON policies and directives, and the integrity and effectiveness of the College's management of its human, financial and physical resources.

### **Appraisal**

The College has undergone a major expansion of its mission requirements with growth of supporting personnel and resources. For that reason, the NWC *Strategic Plan 2008-12* focused its goals and tasks on absorbing the new capacity. Our primary priority was to "consolidate our capacity to support new mission functions, and tasks." The positive results of that process are outlined in Appendix C of the current NWC *Strategic Plan 2014-2018*. The transition phase between the two plans began with an assessment of the mission functions and tasks and marked a time when the NWC successfully settled into the broadened mission and digested the emerging requirements from the Chairman, Joint Chiefs of Staff and the Chief of Naval Operations. The NWC's effective strategic planning system provided direction and priorities for the length of the

previous plan and a means of steady navigation as the College developed the current plan setting the new course. The ingrained habit of long-range planning in anticipation of future needs, the healthy dialogue among the NWC leadership at many levels, and the disciplined approach to decision-making based on data (and the experienced judgment of the faculty, staff, and leadership) permitted a smooth transition. NWC was well underway on its revised course before the current plan was published. The steady conversations within the College and the periodic ones with the Chief of Naval Operations significantly contributed to this success.

The strong linkage of the College's financial and human resource planning processes to the strategic planning process better aligns planning and resources, and has clearly improved mission accomplishment and effectiveness. Further, the evaluation processes within the College remain comprehensive, systematic, and continuous. Effective feedback mechanisms provide specific, accurate, and useful assessments of the College's educational, research, analysis and gaming, international outreach, and mission support programs. Collection efforts, formal and informal, for external and internal feedback have expanded and refined their efforts and continue to play a major role in assessing the level of mission success. The College community has opportunities to participate in the evaluation process. The relationship between this feedback and the College's short and long-range planning is direct.

The College's multifaceted approach to evaluation continues as a strength. It fosters a strong sense of community, teamwork, and ownership of the College's products and services. People take pride in their work processes and products and strive to improve them. At the unit level, they genuinely embrace and use feedback, and the College's administration empowers them to do so. These organizational level or end-of-course surveys have matured over the last decade. Many of the surveys, especially in the core academic programs, now collect input from a common set of questions, thereby providing more uniform data sets which provide a more suitable basis for comparison and a more valid basis for informed decision-making. Response rates from our professional resident students are very high, normally exceeding 90%. Since they are mid-career professionals and feel a responsibility to contribute to the improvement of the NWC experience, they are willing to devote significant time to this feedback process. As a result, our quantitative and qualitative data is solid and insightful.

The College's annual assessment plan collects data from our graduates, alumni, and Navy leadership about our graduate-level academic programs to improve their effectiveness. The data are routinely reported to members of the Academic Policy Council in standard formats on a timely basis. These twenty-page reports organize the data by accreditation standards and reflect a high degree of success. The reports place the feedback in context and provide some longitudinal insights into the College's success or challenges in key areas. This data demonstrate these mid-career professionals sincerely believe the education fosters their development and sharpens their critical thinking. They attest to solid growth in the educational outcomes. Moreover, their feedback makes a difference as the faculty favorably responds to the student concerns. Many of the recommended refinements and improvements are already known to the faculty either through an ongoing dialogue or the faculty's experienced judgment.

Adapting to an electronic means using the intranet and the internet for surveying continues to make accessibility and data collection and collation easier. Analytical results are

completed timelier. Data collection continues to broaden as the sound practices of the academic departments have been broadly adopted by the international programs, the non-resident education programs, the operational level of war programs, co-curricular, and support services. Evaluation results backed by data inform the College's planning at every level.

Alumni surveys provide useful trend data for assessing the College's effectiveness and influence over a longer term. While response rates are significantly lower than those achieved from resident students, the generally positive feedback, especially from alumni two and five years after graduating, has reinforced the viability of the revised academic courses. Results from these surveys are routinely reported and briefed to the Academic Policy Council.

Since 2009, NWC has been assessed by several external organizations. All have been very positive in their assessment of the College's educational mission accomplishment. During 2009, the Colleges of Naval Warfare, Naval Command and Staff, and Distance Education were recommended to the Chairman of the Joint Chiefs of Staff for re-affirmation of accreditation for JPME by the visiting teams. The Congressional report singled out the Naval War College in several instances for its excellent practices. The GAO review of NWC's research efforts was favorable. The Naval Inspector General (IG) reported in 2014 that the College was successfully executing its four-fold mission and operating within accreditation standards for professional military and graduate-level education. Using survey data and focus groups, the IG team discovered a favorable quality of life and command climate. They also reiterated the issues reported thorough our own self-assessment were valid and held risk for the longer term health of the College and the Navy.

The College's mission means that its effectiveness requires successful activity well beyond its campus. Support to the Fleet in terms of operational level of war education, international engagement and outreach, and working with senior Navy leaders to assist in defining the Navy's future require extended contributions across a wide array of mission activities. Assessment processes for these tasks vary. All have after-action reports provided to the respective dean and often forwarded to the Provost and President. Many have formal means of collecting data at the organizational level to support the informal feedback processes and experienced judgment of the involved faculty and staff. Others must formally report to the supported organization or command. Some still rely primarily on informal means and insights from the assigned faculty and staff. However, very few of the activities receive formal information collection at the institutional level. The informed judgments made at the end of each year rely on the data collected at the organizational level.

The College employs a first-rate, well-paid faculty. They establish an excellent learning environment with a rigorous curricula that challenge the students. Students are selected because they are top performers in their profession; they are treated as such and respond in kind. They are evaluated in terms of their academic performance against a set of published outcomes. Most importantly, these mid-career professionals evaluate the curriculum, the faculty, the facilities, and the services provided; their opinions stimulate improvements in these areas. In summary, the effectiveness of the planning and evaluation process has led to successful mission accomplishment and continued improvements in our mission-related efforts.

## **Projection**

The Naval War College remains committed to excellence in its mission achievements. Assessment has become an integral aspect of the College's routine operations, from education to quality of life. The practices for self-evaluation from the academic departments have migrated to the other parts of the College. The close and frequent communications between the resident students and faculty, staff, and administrators provides a substantive, informal source of qualitative feedback to complement the quantitative means. Decisions, especially those involving the graduate-level academic programs, are well informed with data as well as the experienced judgment of a dedicated faculty and staff.

The next step is to complete and refine the data collection efforts for the activities supporting the other three mission functions at the organizational level. The College must also create assessment methodologies and an annual plan for these mission areas. In the uncertain times ahead, both in financial terms and in terms of the dynamic international security environment, strengthening our data-based decision-making will be critical to efficiently managing the challenges while sustaining mission effectiveness. To assist in improving overall institutional effectiveness, the College has recently hired its first Director, Institutional Research.

Planning and evaluation continue to be inextricably linked at the Naval War College. Mission accomplishment is an ingrained aspect of military leadership. Consequently, the dual habits of planning and evaluation to achieve institutional effectiveness are integral to the behavior of the institution and its leadership. Disciplining the institution to achieve excellence, not over-achievement, and thus to live within its means by achieving efficiencies, is a challenge that the College will likely soon face.

## Standard 2: Planning and Evaluation

### PLANS

#### Strategic Plans

Immediately prior Strategic Plan  
 Current Strategic Plan  
 Next Strategic Plan

Year of Completion	Effective Dates	URL or Folder Number
2008	2008-12	
2014	2014-18	<a href="https://nwcintrinet.nwc.navy.mil/default.aspx">https://nwcintrinet.nwc.navy.mil/default.aspx</a> link to draft, if available

#### Other institution-wide plans

Master plan  
 Academic plan  
 Financial plan  
 Technology plan  
 Enrollment plan  
 Development plan  
*(Add rows for additional institution-wide plans, as needed.)*


#### Plans for major units (e.g., departments, library)

1
2
3
4


*(Add rows for additional plans, as needed.)*

### EVALUATION

#### Academic program review

Program review system (colleges and departments). System last updated:  
 Program review schedule (e.g., every 5 years)

	URL or Folder Number

#### Sample program review reports (name of unit or program)

Navy Inspector General's Report	
CNW PAJE by Joint Staff  7 Team - May 2009	
CNC&S PAJE by Joint Staff  7 Team - Oct 2009	

	<a href="https://nwcportal.usnwc.edu/doa/default.aspx?RootFolder=%2Fdoa%2FDocuments%2Fpage%20reports&amp;FolderCTID=0x012000F23D1F82CE04E14BB9519C6D0E9B8339&amp;View={CF6AF291-69B7-49A9-B180-B93447D0FA6F}">https://nwcportal.usnwc.edu/doa/default.aspx?RootFolder=%2Fdoa%2FDocuments%2Fpage%20reports&amp;FolderCTID=0x012000F23D1F82CE04E14BB9519C6D0E9B8339&amp;View={CF6AF291-69B7-49A9-B180-B93447D0FA6F}</a>
	<a href="https://nwcportal.usnwc.edu/doa/default.aspx?RootFolder=%2Fdoa%2FDocuments%2Fpage%20reports&amp;FolderCTID=0x012000F23D1F82CE04E14BB9519C6D0E9B8339&amp;View={CF6AF291-69B7-49A9-B180-B93447D0FA6F}">https://nwcportal.usnwc.edu/doa/default.aspx?RootFolder=%2Fdoa%2FDocuments%2Fpage%20reports&amp;FolderCTID=0x012000F23D1F82CE04E14BB9519C6D0E9B8339&amp;View={CF6AF291-69B7-49A9-B180-B93447D0FA6F}</a>

*(Insert additional rows, as appropriate.)*

#### System to review other functions and units

Program review schedule (every X years or URL of schedule)

--

#### Sample program review reports (name of unit or program)

1
2
3


*(Insert additional rows, as appropriate.)*

#### Other significant evaluation reports (Name and URL or Location)

Example: <i>Advisin: www.notrealcollege.edu/advisin</i>	Date
1	1995
2	
3	

	Date
	1995

*(Insert additional rows, as appropriate.)*



## Chapter 3 -- Organization and Governance

### Description

The Naval War College, as an instrumentality of the Executive Branch of the U.S. Government, operates under the strict standards imposed on it by federal law, the Secretary of Defense (SECDEF), the Secretary of the Navy (SECNAV), and the Chief of Naval Operations (CNO). The President of the Naval War College is the Chief Executive Officer of the institution and reports to the CNO for mission accomplishment, broad policy guidance and governance. The President receives additional policy guidance and direction from the SECDEF, the SECNAV, and the Chairman of the Joint Chiefs of Staff (CJCS) through the CNO. The CNO has created a governing board for Navy advanced education, the Advanced Education Review Board (AERB). Chaired by the Vice Chief of Naval Operations, the AERB oversees education policy, practices, and resources with a specific focus on the Naval War College, the Naval Postgraduate School, and the US Naval Academy.

The College has a Board of Advisors established by the SECNAV; it advises and assists the President. Unlike the governing board at a civilian institution, however, this board is not ultimately responsible for College quality and integrity, nor does it hold either property or assets. This trust is borne by the CNO, answering to the SECNAV, the SECDEF, the President of the United States, and Congress.

The President of the College is accountable for all operations of the College and is responsible for education and research, analysis and gaming activities that contribute to its mission accomplishment. Normally a Rear Admiral, the President exercises oversight across all elements of the College, subject to broad policy guidance from the CNO. The President also maintains professional contacts with the Fleet, and military and civilian institutions of higher learning in the United States and around the world. The selection of the Provost, deans, department chairs, directors and other key personnel is at the discretion of the President, as outlined in the *Faculty Handbook*.

The College's mission encompasses five key functions outlined in the first chapter. The President of the College is assisted in his governance by an executive leadership team consisting of the Provost, Deputy to the President/Chief of Staff, Dean of Academic Affairs, Dean of Naval Warfare Studies, Dean of the College of Operational and Strategic Leadership, Dean of International Programs, Dean of Students, and Associate Provost. They are responsible to him for their respective functions and supporting tasks.

The Provost is the Chief Operating Officer (COO) of the College. As such, the Provost is responsible to the President for the effective and efficient functioning of the College. As the COO, the Provost is also responsible to the President to ensure that the College accomplishes its mission, functions and tasks. Because of this and in order to link the College's operations that support its mission accomplishment with its financial resource management processes, the Provost exercises oversight over the preparation of the College's annual budget as well as its participation in the Department of Defense Planning, Programming, Budgeting and Execution (PPBES) process described in Chapter 9. The Provost is also the principal assistant to the

President for education and is responsible for the well-being and effective use of the faculty, academic staff, and student body. The Provost acts as the executive agent for the President in educational matters and is responsible to the President for the establishment and maintenance of academic policy, standards and procedures.

The Dean of Academic Affairs is the principal assistant to the President for education and also directs and coordinates the professional military education programs of the College. The Dean approves the academic curriculum and provides faculty support to the College of Naval Warfare (CNW), College of Naval Command and Staff (CNC&S), Naval Command College (NCC), Naval Staff College (NSC), and the College of Distance Education (CDE). The Dean of Academic Affairs, through the academic department chairs and college directors, coordinates all academic matters, including course content, teaching methodology, and scheduling; directs evaluations of the course of instruction; recruits new faculty; oversees the Writing Center; and maintains close professional relationships with other military and civilian educational institutions.

The Provost is supported by the Associate Provost, the Dean of Students, the Library director, and the Registrar. The Provost also is advised by a small group of advisors representing the other U.S. military services and several federal agencies (e.g. the State Department, the CIA, Maritime Administration, etc.). As Dean of Faculty, the Provost supervises the work of the College's academic and military chairs. The Provost supervises the academic faculty across the College.

The Associate Provost is responsible for leading efforts to evaluate institutional and educational effectiveness, strategic planning, and sustaining accreditation standards. The Associate Dean of Academics for Electives and Directed Research manages the electives program as well as the directed research program.

For the research, analysis, and gaming function, the Dean of Naval Warfare Studies directs the Center for Naval Warfare Studies (CNWS) in the development of concepts concerning national security and strategic thought, and of ideas for the employment of joint and naval forces in peace and war. His duties include coordinating all advanced research activities at the College by maintaining active contact with the staffs of the CNO, the Commandant of the Marine Corps, fleet commanders, and other U.S. and foreign government agencies concerned with strategy, operations, logistics, international law, technology, and political-military affairs. Additionally, the Dean is responsible for publishing the *Naval War College Review*, the *Newport Papers* monograph series, and books; developing annual budgets supporting wargaming for research; providing curricular support to the teaching departments; and, encouraging contributions to strategic thought and research.

The Deputy to the President/Chief of Staff is the principal assistant to the President for mission support and is responsible for the security and safety of the Naval War College and its personnel. The Deputy to the President/Chief of Staff is responsible for directing all administrative and support functions; implementing policies for the distribution and effective management of personnel and material in coordination with the Provost; coordinating all internal and external non-academic programs and functions; monitoring administrative and support

programs for students, faculty, and staff; maintaining a comprehensive security program; and providing support for special activities pertinent to the management and administration of the College. These tasks involve the oversight of facilities, manpower and management, information resources, administrative services, publication and printing, and graphic arts. . The Deputy to the President is assisted by a mixture of naval and civilian department heads who manage the support infrastructure. Subject to the orders of the President, the Deputy contributes to the effective functioning of the College and is the prime coordinating agent with the Naval Station Newport. As Chief of Staff, he manages the supporting staff.

The Dean of International Programs is responsible for sustaining and strengthening international programs to enhance navy-to-navy relationships, sustain educational efforts with our international alumni, increase maritime and theater security cooperation, and strengthen global partnerships.

The Dean of the Operational and Strategic Leadership is responsible for non-degree operational-level of war education aimed at direct support to the fleet, the development of leadership and ethics for the Navy profession, and research and teaching involving naval leadership.

The Director of the Senior Enlisted Academy is responsible for the professional military education of senior enlisted Chiefs, delivered in resident and non-resident formats. He also advises the President, NWC on enlisted Sailor PME matters.

The *Organizational Manual* describes the functions and responsibilities of all organizational components of the College, as outlined above. Though it is undergoing updating, it is reasonably accurate. It can be found on the intranet, along with the College's numerous instructions, regulations, memoranda of policy, and statements of academic policy.

The College, like any Navy shore activity, must comply with published policies, regulations, and procedures regarding accounting, facilities maintenance, personnel management, purchasing, safety, and supply. These external controls provide some of the governing structure normally associated with governing boards in civilian universities and colleges. Furthermore, various government or Navy activities periodically audit or inspect the College to ensure that its resources are properly managed and that its mission, functions, and tasks are being accomplished. In this regard, the on-site review by the Naval Inspector General in 2013 validated the College's compliance with these external controls.

Most personnel programs and associated procedures, including recruitment, selection, appointment, renewal and termination of contracts, promotions, salary increases, job security, sabbatical and other leave, dismissal, retirement, pensions, and other employee benefits, are explained in well-established civil service or military regulations. The *Faculty Handbook* clearly describes faculty responsibility and authority. Information on student responsibilities is found in the *Student Handbook*. Other policies and practices not specifically addressed in the above regulations are laid out in the College instructions. Appropriate civilian references include the Human Resources Instruction, *Federal Employees Almanac*, the *Individual Development & Planning Handbook*, the *Federal Employees Retirement System Handbook*, the *Federal*

*Employees Group Life Insurance Handbook and Health Plan*, and the American Federation of Government Employees bargaining agreement.

### **Policy Advisors, Committees, and Boards**

Policy advisors, comprising individuals and boards and committees representing special functional areas within the College, serve the President and the Provost in a variety of ways. Individuals providing expertise in specific areas include advisors from the U.S. Army, Air Force, Marine Corps, Coast Guard, CIA, Maritime Administration, and State Department. The incumbents report directly to the Provost. Most also serve as faculty with the core academic departments.

Other advisors, with direct access to the President, are the Public Affairs Officer, Staff Judge Advocate, Comptroller, Command Inspector General, Command Master Chief, Staff Intelligence Advisor, Command Career Counselor, and Safety and Occupational Health Manager. The internal boards and committees participate formally in the governance of the institution.

### **Internal Boards and Committees**

A *Senior Leader Committee* has been formed for the development and monitoring of the College's strategic plan. This team, consisting of the Associate Provost, the Dean of Academic Affairs, the Dean of Naval Warfare Studies, the Dean of International Programs, the Dean of Operational and Strategic Leadership, the Director, SEA, and the Deputy to the President/Chief of Staff, also serves as executive sponsors for individual projects and as a resource allocation or alignment decision making body. Assistance is provided by a larger strategic planning body including assigned strategic-goal leaders with their team members. The body also serves as a resource board, providing a forum for the discussion of issues related to budget formulation, resource allocation, human resources, and alternate funding sources. The board meets at least semi-annually to advise the President in decision making on resource issues.

The *Academic Policy Council (APC)* advises the President and Provost on academic matters relating to policy issues that require presidential guidance or decision. These matters include, but are not limited to, curriculum review, review of research programs planned or in progress, and determination of academic eligibility and standards. This council consists of the President, Provost, Associate Provost, Dean of Academic Affairs, Dean of Naval Warfare Studies, the three academic department chairs, the Director of the College of Distance Education, the Director of the Maritime Advanced Warfighting School, Dean of Students, and the Dean of Operational and Strategic Leadership. The other Associate Deans and other members of the faculty, as directed by the President and/or the Provost, may also participate in the deliberations of the APC. The APC meets regularly.

The *Joint Professional Military Education (JPME) Subcommittee* assists the APC by providing executive oversight and coordinating effective and timely integration of the JPME Program into Naval War College curricula. The subcommittee is chaired by the Professor of Research. Other members include; the CDE Joint Maritime Operations Division Head, and the executive assistants of each academic department. The subcommittee meets on a regular basis.

The *Electives Committee* assists the Associate Dean of Academic Affairs for Electives and Directed Research in determining Electives Program content and policy, and in monitoring program quality. The committee consists of the chairs of the academic departments, the Director of CDE, and the Associate Dean for Electives and Directed Research, with the Dean of Academic Affairs and the Associate Dean of Academic Affairs participating ex officio.

The *Academic Integrity Review Committee* is convened in those rare instances when questions of academic integrity regarding examinations or the originality of student work are raised. The committee thoroughly reviews such issues and makes recommendations to the President regarding appropriate administrative or disciplinary action. The Dean of Academic Affairs personally chairs this Committee comprised of the Dean of Naval Warfare Studies, the Dean of Students, and, if applicable, the appropriate service advisor.

The *Advanced Research Council* serves as a policy-consulting and project-recommendation committee for all proposed student Advanced Research Projects and all Sponsored Research Program proposals involving College funding once they are approved by the College's Resource Board. The voting members of the council consist of the Dean of Naval Warfare Studies, the Dean of Academic Affairs, the Director of Advanced Research, and two at-large members, one designated by the Dean of Academic Affairs and one designated by the Dean of Naval Warfare Studies. Non-voting members are faculty advisors to the student projects, or faculty and staff members with expertise related to the candidates' projects. The council meets as required.

The *Library Committee* monitors the operation of the Eccles Library and reports on the quality and effectiveness of the library's support of educational and research programs. Additionally, the committee reports annually on the current and long-range needs of the library and adequacy of existing plans and budget provisions to meet those needs. Membership includes one academic faculty member from each academic department, CDE, NCC, and NSC; one faculty member from CNWS and COS; and two students, one from the CNW and one from CNC&S. The library's director serves as chairman. The committee meets at least semi-annually.

The *Space Committee* is chaired by the facilities director and meets regularly to deal with short and mid-term demands for space. This forum has been quite successful in managing the temporary spaces for organizations displaced by scheduled renovation projects. Membership includes representatives from across the NWC departments.

The *Performance Appraisal Review Board* for civilian faculty members is composed of the Associate Provost, the Dean of Academic Affairs, the Deans of Naval Warfare Studies, COSL, International Programs, and the Deputy to the President/Chief of Staff. The board reviews and initiates recommendations resulting from the Civilian Performance Appraisal Program. It also reviews recommendations for quarterly performance awards for civilian staff.

The *Faculty Awards Committee* for civilian faculty members comprises faculty members appointed by the Provost who deliberate and recommend recognition for outstanding members of the faculty. Recognition is made normally in conjunction with graduation ceremonies but may also be made in connection with retirement. Professor emeritus recommendations originate with this committee.

The *Faculty Promotion Committee* for civilian faculty members comprises faculty members appointed by the Provost who review promotion packages forwarded by the respective Dean against the published standards and make recommendations to the Provost.

### **Student and Faculty Roles in Governance**

*Student Executive Committees* support and oversee academic, athletic, and social activities. The Colleges of Naval Warfare and Naval Command and Staff each have an Executive Committee composed of a president (the senior active-duty naval officer), a vice president, and assistants representing the Army, Air Force, Marine Corps, Coast Guard, and civilian agencies. The two committees, functioning according to their constitutions and by-laws, appoint members to serve as chairs of athletic, social activities, and entertainment committees, as well as special representatives. A secretary and treasurer are also appointed. These positions are held throughout the academic year. The Dean and Deputy Dean of Students frequently coordinate with the class officers on College and student business. The President and Provost meet with the class leadership throughout the year to see that any student concerns are being examined and appropriately acted upon.

Similarly, the international colleges organize their officer students in a meaningful manner for self-governance. NCC has class officers, including a president, vice president, secretary, treasurer, sports representative, Social Committee chairman, Travel Committee chairman, and others. NSC has an executive committee consisting of president, vice president, secretary, treasurer, social representative, and sports representative.

For non-resident programs, the degree-granting Fleet Seminar Program establishes a student leader for each seminar. That seminar leader works closely with the Fleet Professor and the liaison officer at that Additional Instructional Location. The student leader is the key link between the on-campus faculty and students for end-of-course critiques and other administrative matters.

*Seminar leaders* provide liaison between the Executive Committee and other college-wide committees and the individual resident seminars. The senior student in each seminar is designated the seminar leader. In turn, he or she appoints academic, activities, business, athletic, and information-technology representatives. Seminar leaders serve as advisory members to the class Executive Committee. They meet routinely with the Dean and Deputy Dean of Students. Seminar membership changes each trimester, allowing broader interaction between students and a mix of services and warfare specialties appropriate to course objectives. This rotation also provides multiple opportunities for different students to hold leadership positions during the academic year.

*Student Academic Committees* provide forums for information, analysis, and feedback—a vital element of the ongoing dialogue and academic and operational decision making at the College. Two separate committees are formed one for CNW/NCC and one for CNC&S/NSC. Student members represent their seminars. Meetings are chaired by the student designated by the Dean of Students. The respective academic chairs represent the faculty. Representatives from the

other academic departments, the staff, and the Dean of Students also attend these meetings, held two or more times per trimester. Minutes of all meetings are forwarded to the Provost/Dean of Academics.

Faculty has always had a unique role at the Naval War College. From its inception, they have been engaged in governance. The Provost and Deans are all also faculty members in positions of leadership. They constitute the majority of the executive leadership team. Chairs of the academic departments, through the APC, directly participate in both academic policy-making. They teach as well as manage their departments and faculties. They serve also as conduits for the opinions and concerns of their fellow faculty members at key decision making forums.

The faculty is responsible for the development of the curriculum in consonance with guidance provided by the President, the Provost, the Dean of Academic Affairs, and the academic department chairs. The academic department chairs are responsible and resourced for maintaining expertise and currency in curriculum areas. Each academic department conducts an annual retreat to review the results and feedback data of the previous year's curriculum, examine the inputs from faculty concerning relevant curriculum issues and real-world and academic developments attendant to those issues, and determine necessary changes for the upcoming year.

These retreats, coupled with student feedback taken from a variety of questionnaires, provide the foundation for development of the entire course curriculum. Thus, through a regular, documented process of assessment and analysis, departmental faculty develop curricula for the resident and non-resident academic programs. The APC is apprised of the faculty's findings and resulting refinements to curricula, teaching materials, and educational methodologies. In this same forum, the faculty has the opportunity to suggest changes to existing or planned policies through the department chairs and the Dean of Academic Affairs.

The *Faculty Conference* or Cloister, normally held annually prior to the fall trimester, provides an opportunity for new faculty introduction, academic policy review, facilities update, and for the sharing and developing of practices and policies applicable to College life, as well as updates regarding educational purposes and methodology.

Additionally, faculty committees are formed to review new faculty applicants and make recommendations to the departmental chair. They also advise the chairs regarding hiring, pay, and promotional policies. Recently, such advice resulted in a new memorandum of policy regarding faculty appointments and promotion.

As demonstrated in the above listing of the College's internal boards, individual faculty members serve on various boards and standing committees, such as the Library Committee, the Space Committee, the Advanced Research Committee, or the Equal Employment Opportunity Committee. Faculty members have led and participated in each of the four specific self-studies, including the present one, over the last three years. Some faculty members participated in the latest iteration of strategic planning and currently have responsibility for accomplishment of the plan's strategic goals. Faculty involvement is crucial to the development of effective educational programs and policies and the governance of the College.

## External Boards and Committees

The Secretary of the Navy established a *Board of Advisors* to the President of the College in 1967. This board, re-established as a separate Federal Advisory Committee in April 1983, is charged with advising and assisting the President in educational, research, support, and resource areas. It was reconstituted to support both the Naval War College and the Naval Postgraduate School. The board examines educational, doctrinal, enrollment, and research policies and programs, as well as resource challenges. It submits opinions and recommendations to the President and, when deemed necessary, to the CNO. The Board of Advisors consists of individuals with military, government, private-sector, and academic backgrounds. Board members must be approved by the CNO, the Secretary of the Navy, and the Secretary of Defense prior to appointment. Board members serve without compensation. The board is scheduled to meet semi-annually.

The College is subject to guidance from Congress. The House of Representatives Armed Services Committee's Panel on Military Education has established and monitors a broad set of professional military education objectives for all services. The College is also subject to broad guidelines for joint professional military education, stemming from congressional and Joint Staff interest. These external initiatives have the potential for determining at least a portion of the College's curricular content, although they do not alter methodology or academic rigor.

The President also receives advice from various external sources. Numerous military staffs and combatant commanders have keen interest in the curriculum presented at the College and frequently suggest additional topics for inclusion or changes to the curriculum. These organizations are staffed in part by Naval War College graduates, and it is naturally important to consider their recommendations. These recommendations or suggestions, however, are purely advisory.

Many Navy and Marine Corps leaders have a vested interest in the College, its students, or its products. Some are interested in the College's academic programs and curricula, and they provide suggestions for inclusion or change. Some of these flag and general officers directly communicate with the President; others choose to communicate chiefly through the Navy's Vice CNO or the CNO. The President coordinates frequently with the President of the Naval Postgraduate School and the Superintendent of the Naval Academy; together and individually they advise the Deputy CNO for Manpower, Personnel, Training, and Education (MPTE), the AERB, the Vice CNO and the CNO on professional military education matters.

The Military Education Coordination Conference (MECC) is a consultative body established by the Officer Professional Military Education Policy as published by the Chairman of the Joint Chiefs of Staff. The MECC is composed of the Director and Deputy Director of the Joint Staff and the Presidents, Commandants, and Directors of all the professional military education schools in the United States and meets at least annually. Its purpose is to address key educational issues of interest to the joint education community (including those raised by the CJCS, unified combatant commanders, Congress, and others), promote cooperation and collaboration among the MECC member institutions, and coordinate joint educational initiatives.



## **Organizational Changes**

The expansion of the mission and the resulting growth led to several key organizational changes. In September 2008, the span of control of the Provost as Chief Operating Officer necessitated resurrecting an independent Dean of Academic Affairs to ensure proper attention, guidance, and representation of the College's academic function. To properly plan, supervise, and represent the expanded efforts on institutional engagement and outreach, the College created a Dean for International Programs, replacing the former Associate Dean of Academics for International Programs. To conduct operational-level of war education and conduct research on naval leadership and professional ethics, the NWC organized a new college, the College of Operational and Strategic Leadership with a dean assigned to oversee its mission-related activities.

The extension of the NWC educational mission to include enlisted sailors and other professional military education brought the Senior Enlisted Academy (SEA) into the NWC organization. The SEA had been operating aboard Naval Station Newport and the entire organization shifted under the command of the President, NWC. The Director, SEA, advises the President on enlisted PME matters and coordinates NWC's efforts with the Master Chief Petty Officer of the Navy.

Heightened professional interest in several areas spurred the College to increase its capability and expertise to support mission-related activities. The first of these were the regional groups established to promote expertise that supported curriculum efforts to broaden the knowledge of students internationally, with an emphasis on regional expertise and cultural understanding. These faculty groups also engage in professional international outreach and engagement. The NWC started with five groups, loosely organized around the areas of responsibility of the nation's regional combatant commanders and their subordinate Navy component commanders. Two groups, the Indian Ocean and the Arctic Groups, have been added to address critical areas for the Navy in greater detail.

Two other critical areas have emerged for our educational efforts and other mission activities. Irregular Warfare seems to be a steadfast element of 21<sup>st</sup> Century warfare. To facilitate faculty collaboration and expansion of expertise, NWC formed the Center for Irregular Warfare and Armed Groups (CIWAG) to build educational case studies focused on irregular warfare. A second center was created to foster increased knowledge on the cyber domain and its growing significance to the prosperity and security of the citizens of the United States.

The final organizational change occurred in May 2014 when the President, NWC was assigned by the Chief of Naval Operations as his executive agent for the education and training of the Navy on leadership and professional ethics. To start meeting that responsibility, the former Command Leadership School located at Naval Station Newport was assigned as an Echelon III Command known as the Naval Leadership and Ethics Center (NLEC).

## Appraisal

### Strengths

The NWC remains well organized to support its mission, functions, and tasks. It has clear policies to ensure mission effectiveness. It continues to refine its organization, as indicated in the paragraph above, to focus better on its mission areas. The NWC community, especially the faculty, recognizes and fully supports the educational efforts involving professional military education and operational-level of war education. The faculty and staff remain this institution's greatest strength. They are extensively involved in the operation of the College. Their dedication to excellence results in a culture of constant self-improvement. They understand their duties involve considerable efforts in service to the College to accomplish mission tasks outside of their principal responsibilities. Most embrace the opportunity to engage in mission-related areas of their choosing where they possess expertise and experience.

Faculty stability and cohesiveness have continued to enable the College to sustain excellence through a series of mission, organizational, and leadership changes and significant growth. Despite the limited, formal organizational opportunities for individual faculty members to participate directly in college-wide policymaking, their advice is persuasively conveyed by their deans, department chairs, and directors. The Academic Policy Council ensures the faculty is integral to all decisions regarding educational policy, programs, and practice. The significant re-design of the curricula for the two degree granting programs and their immediate success was the direct result of the faculty's talent, experience, and dedication. Their foresighted judgment of the broad requirements for the respective educational outcomes in this dynamic international security era was proven with the publication in June of 2014 of the Chairman's, Joint Chiefs of Staff, desired leader attributes as the goal for future joint education. Nearly all of these CJCS requirements were already reflected in NWC educational outcomes and have been studied since 2006.

The changes effected over the last decade demonstrate the College remains a well-structured, yet agile organization, possessing ample flexibility in its governing body to permit development of the programs necessary to carry out its mission. Organizational change continues to take place within the constraints of the fiscal and facilities resources, through a deliberate process aligned with the requirements of the Navy and the nation.

The President's direct access to the CNO for all matters regarding mission, functions, and tasks has been critical throughout this growth phase. The very broad guidance provided by the CNO allows the President wide latitude in the development of academic programs, supporting curricula, and the execution of courses. Likewise, the CNO encourages similar discretion for the College's other mission activities, and continues to seek closer alignment with his strategic intent. The last two CNOs have had a direct personal and professional interest in the College and a keen desire to better use the significant talent of this faculty to assist with key challenges for the Navy.

The College continues to exercise independent control of its academic program and fulfill its education requirements. The Navy's increased emphasis on education is reflected in the recent

release of two key strategies: the *Navy Education Strategy 2025*; and the *Navy Leader Development Strategy*. The former established three expertise areas required for senior Navy leaders; two of them, joint warfighters and strategic leaders, were both key aiming points for the educational outcomes for graduates of the intermediate and senior-level colleges at NWC. The catalyst for the latter was the ongoing research on leadership conducted at the College. Faculty members provided the draft document for the *Navy Leader Development Strategy* and the President is now charged with oversight of the Navy's implementation and ongoing assessment.

The responsibility of the Navy is to educate its future leaders so that they can make the right choices in matters of future strategy, force planning, resource allocation, and joint and multinational operations. These matters are properly the province of the CNO. The President of the College executes that responsibility for him as an Echelon II commander. The College's executive leadership and its Board of Advisors believe this relationship remains essential and must be preserved at all costs. The President continues to have a direct communication and a close relationship with the CNO in mission-related matters. This strategic conversation, unfettered by the politics of a layered bureaucracy, permits the NWC to understand strategic intent and align its mission efforts accordingly.

For fiscal resources the Deputy CNO for Manpower, Personnel, Training and Education is the College's major claimant. That resource sponsorship affords the College a means of competition for resources within the functional areas of education and training rather than with broader Navy requirements, such as ship and aircraft procurement. Furthermore, the Advanced Education Review Board is specifically tasked with ensuring the Navy's three educational institutions are sufficiently resourced in terms of funding and physical infrastructure. This organizational oversight has directly assisted the College in receiving the essential resources during this extended period of growth and significantly improved the quality of life and the learning environment.

The College's financial planning effort and distribution of resources remain effective. The direct involvement of the deans in institutional strategic and financial planning has developed a mutual understanding of the challenges, constraints, and opportunities that affect the College's efforts to increase its mission effectiveness. It has paid handsome dividends during the two fiscally austere years of 2011 and 2013 when very careful navigating was required to sustain mission accomplishment in austere years. With the near term's considerable fiscal uncertainty this will continue to be a critical capability for the College.

Communication among the members of the senior management team is open and is effective in identifying and resolving issues that might otherwise hamper the accomplishment of the College's mission. Regular meetings with the Provost and the President ensure a healthy dialogue and a mutual understanding of challenges and opportunities. Likewise, communication at the second level of management within departments is equally effective. Cross-departmental communications at the second tier is more sporadic and uneven. This internal communication challenge is exacerbated by the broad reach of cross-departmental mission requirements which make NWC a dynamic and complex institution; NWC has too few personnel resources to reorganize strictly around mission functions. Instead, College personnel are tasked to serve the College beyond their principle function. While this approach takes full advantage of a multi-

talented faculty and staff, it results in many, simultaneous mission activities often outside of departmental lines which further complicate internal communication and coordination. This remains an area of emphasis for senior leadership.

Policies and practices within the College are well codified in a series of internal instructions. Adequate mechanisms exist to permit change to these practices as circumstances dictate. All constituencies of the College community have formal means to voice concerns and advocate changes.

Non-degree programs have significantly expanded. They must enjoy success equal to that of the degree program. International and non-resident programs are also essential. However, two Presidents and the current strategic plan have emphatically stated that the preservation and sustainment of the senior-level and intermediate-level resident programs remains the College's first priority. But non-degree programs are so integral to the institution's mission and tradition that they receive equal consideration in policy and resource decision making. They remain well-managed by organizations tailored to their special requirements

By their training and professional habits, students at the Naval War College are uniquely qualified to shape their own education experience. A decade of war experience has steeled them in the deadly seriousness of their profession. As adults and professionals, they participate significantly in self-governance in resident and non-resident programs. These dedicated professionals take their educational experience seriously and conscientiously contribute to its improvement. Informal feedback is a key aspect of academic life, wherever it may be. They are equally conscientious with our formal assessment program. Such student involvement is crucial for the improvement of effective educational programs and policies. Their feedback is highly valued, seriously considered, and applied wherever deemed appropriate.

Our student-leaders annually provide fresh, insightful perspectives on the College's routines and provide judicious recommendations that reinvigorate and sustain the institution's process of improvement. Resident students can voice their concerns through a series of surveys, in seminar meetings, or through student government organizations. They may also address academic issues through the academic committees. Clear procedures exist for bringing complaints or grade appeals to the attention of the administration. Additionally, the Dean and Deputy Dean of Students are always available to discuss any problem or concern with the U.S. students. The directors of the international colleges and their staffs function similarly for the international students.

For the non-resident students, the faculty member has the primary role in feedback. For the Fleet Seminar Program, visiting faculty from the Newport campus provide a critical link in this regard. Additionally, CDE course directors remain available electronically from Newport. Again formal surveys provide additional means of feedback in this regard.

### **Limitations**

Turnover of the position of President remains an area of concern. There have been five different presidents since the 2004 site visit. Only one of the presidents retired from active

service which indicates that the Navy has purposely assigned talented flag officers with potential for further service and promotion. The College has organized a second tier of leadership designed to provide continuity. Adding civilian billets for three deans has assisted in ensuring consistent mission effectiveness as has the strong bottom-up culture for continual improvement. This institutional habit of excellence, coupled with the extraordinary commitment of its stable faculty and staff, have sustained, even improved, mission accomplishment. That success is a testament to the vitality of its integrated organization and multi-layered system of governance, supported by a cogent strategic plan. Stability in the position of the Chief of Naval Operations has also been a positive factor. Nonetheless, longer-term incumbency in the chief executive officer position would facilitate continued improvement.

The reconstituted Board of Advisors is chartered with its responsibilities well addressed. The Board oversees both the Naval War College and the Naval Postgraduate School, and makes its reports to the Chief of Naval Operations (CNO) and the Secretary of the Navy. The Board has two subcommittees; one focused on each institution. Meetings are normally scheduled biannually, once at each respective institution and once in Washington, D.C. At the latter, the consolidated members meet with the leaders from both institutions. Board members are apprised on strategic planning efforts, future resourcing, current mission performance, and the results of external reviews and internal assessments. The dialogue informs the NWC President and senior staff, providing useful perspectives and insights that assist in refining the College's approach to its key challenges. Since most of the Board members remain for both days of deliberation, NWC benefits from the insights of not only its subcommittee members, but also from the observations of the NPS-focused members.

For the last two Presidents, the Board has been a source of beneficial perspective and insight, especially from the members with significant experience in advanced education and those with knowledge of educational institutions undergoing significant growth. Likewise, the Provost and Deans have found that the discussions with Board members often provide constructive advice in managing key challenges and sustaining overall excellence. Board members' expansive professional networks have proven to be most useful, on more than one occasion.

However, the College has not yet reaped the full benefit of the Board of Advisors, as there have been several impediments to conducting meetings on a regular schedule. The effects of sequestration, and the resulting reduced budget for travel, adversely affected these meetings, forcing cancellation of several. Additionally, the bureaucratic process for annual re-certification for each Board member has, on occasion, created delays forcing postponement or cancellation of some Board meetings. These practices have stifled some of the dialogue not only at the scheduled meetings but in the intervals between meetings. Fewer meetings have also reduced the opportunity for Board members to delve more deeply into the College's programs and practices and contribute to the assessment of mission success and future challenges.

Finally, events at the Naval Postgraduate School (NPS) have required particular focus by the Board over the past three years, to assist with significant challenges uncovered during a Naval Inspector General Inspection. Based on the on-site visit and the reported results, both the President and the Provost were relieved of their duties by the Secretary of the Navy. Board

members were asked to assist the Secretary in his assessment of the best way ahead. Thus, for valid reasons, the consolidated Board has sustained an emphasis on NPS over the last three years.

Sequestration along with restrictive federal policies and practices with regards to conferences has adversely affected NWC. Restrictions on travel have impeded curriculum and faculty development. The NWC has been forced to reduce the number of conferences it hosts annually, further impeding development and educational outreach. While some of the initial restrictions have been eased, the approval policy and supporting practice for attendance at conferences sponsored outside of the Department of Defense remains a serious impediment. The Navy Staff and the AERB have been supportive of a more reasonable delegation of authority for attendance; however, the highly restrictive policy and practices remain in place. Over the longer term, they will not only adversely affect mission success but recruiting and retention of qualified staff and faculty.

The College's strength evolved from the intensely focused effort by the various educational and research faculty to produce superior products attendant to their respective functions and tasks. Over the last decade, the mission expansion has made a renewed cohesiveness among the disparate elements of the College critical to sustainment of excellence. Developing an institutional perspective as well as a departmental viewpoint by the leadership, faculty, and staff is essential to increase institutional effectiveness and to improve mission effectiveness. Significant progress has been made, but there remains more to accomplish. None of these organizational changes limit or adversely affect the College's ability to conduct a high-quality graduate-level program of professional military education within its current resident and distance educational structures.

While the College leadership consistently strives to ensure the faculty voice is clearly articulated before key decisions are made, it has become more difficult with the expansion of the faculty and the campus. Formal and informal meetings provide many occasions for discussion. The President and the Provost routinely meet with faculty by department. The Provost has created numerous opportunities to engage faculty members through ad hoc committees, regularly meeting with leaders of groups and centers, and with endowed and named chairs.

## **Projection**

The College projects its student body, resident and non-resident, will remain, at best, steady state over the next decade. Continued sequestration will reduce overall military service force structures; accordingly, student population may shrink because of the loss of overall officer population.

The turnover rate of the College's presidency is likely the pattern for the future. The renewed interest by the CNO in engaging the College's assets to assist more closely with his strategic and operational challenges means that only flag officers with greater promise for increased responsibility will be assigned to the presidency. Since most flag officer billets turnover every two years, it is likely NWC Presidents will be selected for greater responsibilities and may even be promoted. While there has been an impact on the College, the fact that the

CNO selected these officers to serve as the President of the Naval War College and then for promotion during such times as these is testimony to the high regard the CNO and the leadership of the profession hold for these officers. Moreover, the fact that the CNO can make such decisions for the good of the Naval Service and the nation strongly suggests that he understands and has trust and confidence in the institutional strength of the Naval War College.

The expanded opportunities for civilian deans helps to stabilize the leadership, provide depth in experienced leaders and managers for the upcoming period of resource uncertainty, and increase expertise to critical mission functions. They will provide departmental continuity and stability. The larger proportion of civilian faculty members also adds continuity. Both the deans and faculty should be able to sustain the impetus toward improving institutional effectiveness. Since the College's integral strategic planning and resource planning processes are firmly entrenched, the institution should be able to maintain its course through looming financial uncertainty.

A high rate of turnover among the military faculty is an enduring characteristic of all military organizations. Over the years the College has developed procedures to maintain educational excellence among the cadre of military faculty. These orientation and faculty development practices will enable the College to weather any increases in turnover that may result from international developments.

To determine whether the faculty voice is currently sufficient, the Provost appointed a faculty committee to examine this issue and return with recommendations. That team reported that a faculty senate might be a more appropriate manner to ensure timely and comprehensive faculty input. That proposal will be presented to the entire faculty using the NWC capability to collect their judgments on the idea of the senate and, if that is the preferred option, the outline for the charter and rules for that body. College leadership expects to make a determination during this academic year.

### Standard 3: Organization and Governance

Please attach to this form:

- 1) A copy of the institution's organization chart(s).
- 2) A copy of the by-laws, enabling legislation, and/or other appropriate documentation to establish the legal authority of the institution to award degrees in accordance with applicable requirements.

If there is a "related entity," such as a church or religious congregation, a state system, or a corporation, describe and document the relationship with the accredited institution.

Name of the related entity	DOD US Navy
URL of documentation of relationship	<a href="http://www.usnwc.edu/About/College-Administration.aspx">http://www.usnwc.edu/About/College-Administration.aspx</a>

#### Governing Board

By-laws

Board members' names and affiliations

URL	
VADM Lee Gunn, USN (Ret)	Institute for Public Research
AMB Nancy Soderbert	University of Florida
Dr. Paul J. Bracken	Yale School of Management
Dr. Elisabeth Pate-Cornell	Stanford University
Dr. Gordon Adams	American University
Dr. Katherine McGrady	Center for Naval Analysis
VADM Bill Moran (USN)	OPNAV CNP
MajGen Thomas Murray (USMC)	USMC Training & Education Command

Board committees

a.	
b.	
c.	
d.	

*(Insert additional rows as appropriate.)*

URL or document name for meeting minutes


Major institutional committees or governance groups\*

a.	Academic Policy Council (APC)
b.	Advanced Education Review Board (AERB)
c.	Military Education Coordination Council (MECC)
d.	MECC Working Group

URL or document name for meeting minutes


*(Insert additional rows as appropriate.)*

\*Include faculty, staff, and student groups.



**Standard 3: Organization and Governance  
(Locations and Modalities)**

**Campuses, Branches, Locations, and Modalities Currently in Operation (See definitions, below)**

*(Insert additional rows as appropriate.)*

	City	State or Country	Date Initiated	Enrollment*
Main campus (Degree) (Non-degree)	Newport	RI	2/26/1905	449
				88
Other principal campuses				0
Branch campuses				0
Other instructional locations	Monterey	CA	9/27/1999	410
	Port Hueneme	CA	8/27/2001	18
	San Diego	CA	8/27/2001	88
	Washington DC	DC	8/28/2008	370
	Jacksonville	FL	8/27/2001	32
	Mayport	FL	8/27/2001	15
	Pensacola	FL	8/27/2001	22
	Pearl Harbor	HI	8/27/2001	66
	Great Lakes	IL	8/27/2001	22
	New Orleans	LA	8/27/2001	22
	Annapolis	MD	8/27/2001	130
	Patuxet River	MD	8/27/2001	21
	Newport	RI	8/28/2000	66
	Millington	TN	8/27/2001	16
	Dallas/Fort Worth	TX	9/12/2005	13
	Dahlgren	VA	8/27/2001	22
	Norfolk	VA	8/27/2001	132
Everett	WA	8/27/2001	11	
Whidbey Island	WA	8/27/2001	9	
Bangor	WA	8/27/2001	18	

Distance Learning, e-learning	Date Initiated	Enrollment*
		14555
First on-line course	11/1/01	
First program 50% or more on-line	11/1/01	
First program 100% on-line	11/1/01	

Distance Learning, other Modality	Date Initiated	Enrollment*
Web Enabled	Fall 2001	220
Web Enabled Electives	Winter 2004	300

Correspondence Education	Date Initiated	Enrollment*
CD-ROM Program	Spring 2004	700

Low-Residency Programs Program Name	Date Initiated	Enrollment*
None	N/A	N/A

**Definitions**

**Main campus:** primary campus, including the principal office of the chief executive officer.

**Other principal campus:** a campus away from the main campus that either houses a portion or portions of the institution's academic program (e.g., the medical school) or a permanent location offering 100% of the degree requirements of one or more of the academic programs offered on the main campus and otherwise meets the definition of the branch campus (below).

**Branch campus (federal definition):** a location of an institution that is geographically apart and independent of the main campus which meets all of the following criteria: a) offers 50% or more of an academic program leading to a degree, certificate, or other recognized credential, or at which a degree may be completed; b) is permanent in nature; c) has its own faculty and administrative or supervisory organization; d) has its own budgetary and hiring authority.

**Instructional location:** a location away from the main campus where 50% or more of a degree or Title-IV eligible certificate can be completed.

**Distance Learning, e-learning:** A degree or Title-IV eligible certificate for which 50% or more of the courses can be completed entirely on-line.

**Distance Learning, other:** A degree or Title IV certificate in which 50% or more of the courses can be completed entirely through a distance learning modality other than e-learning.

**Correspondence Education (federal definition):** Education provided through one or more courses by an institution under which the institution provides instructional materials, by mail or electronic transmission, including examinations on the materials, to students who are separated from the instructor. Interaction between the instructor and the student is limited, is not regular and substantive, and is primarily initiated by the student. Correspondence courses are typically self-paced. Correspondence education is not distance education.

\* Report here the annual unduplicated headcount for the most recently completed year.

## **Standard 4 – Academic Programs**

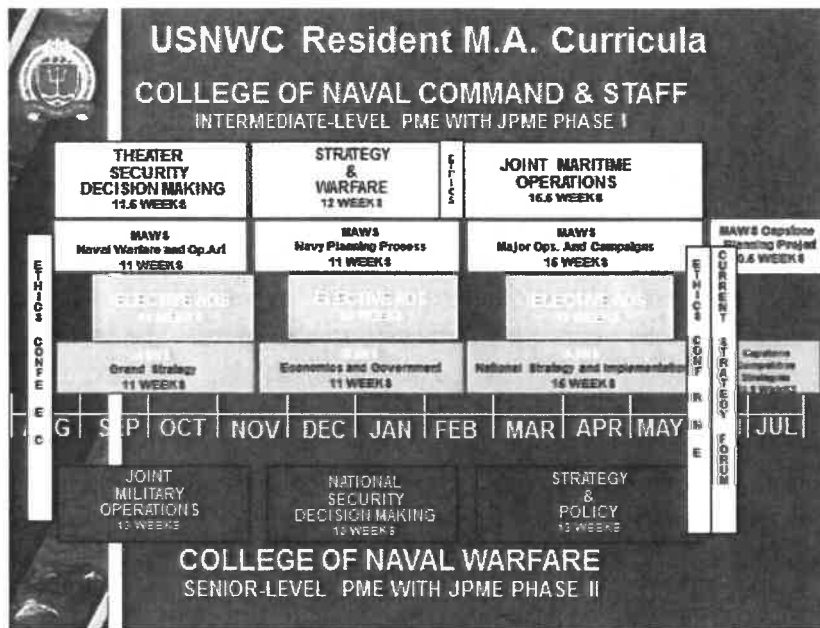
### **Overview**

In 2006, the College fielded the revised senior-level and intermediate-level courses. The NWC and the Navy established two distinct sets of outcomes for these programs. While both continued to focus on national security and strategic studies, the intent was to create two separate educational experiences. The process of creating the curricula for each took nearly two years for the faculty to complete. The initial offerings were well-received, proving to be viable in the judgment of the students, faculty, and leadership. Faculty members continued to refine the curricula, focusing on the courses with a goal of improving the students' mastery of the educational outcomes. By last academic year, the faculty believed that the curricula for both programs had suitably matured to consider awarding two distinct degrees. The College hopes to receive approval to award separate Master of Arts degrees as a result of this self-study review.

The U.S. Naval War College academic program is graduate-level education taught by seasoned, professional educators and practitioners. It consists of two Master of Arts Degree programs: the Senior-level College (SLC) of Naval Warfare; and the Intermediate-level College (ILC) of Naval Command and Staff. Each is comprised of a core curriculum of three courses plus three electives. Until the 2006-07 academic year, the College had executed one course for both intermediate and senior students. At that time the Navy directed that the College disaggregate the core curriculum into two separate and distinct resident curricula for the two colleges. The College of Distance Education revised relevant curricula to parallel the resident Intermediate-level College of Naval Command and Staff.

The core courses in the Senior-level College of Naval Warfare are taught in thirteen week trimesters, each worth eight credit hours. Each of the three electives is worth two credit hours. In the Intermediate-level College of Naval Command and Staff, Theater Security Decision Making and Strategy and Warfare are worth seven credit hours and Joint Maritime Operations is worth ten credit hours, while each of the three electives is worth two credit hours.

The Senior-level College of Naval Warfare is offered to mid-career officers (pay grade O-5 or O-6) and U.S. government civilians and grants and would continue to grant the M.A. in National Security and Strategic Studies to students in good standing. The Intermediate-level College of Naval Command and Staff currently grants a M.A. in National Security and Strategic Studies to earlier career officers (O-4) and civilians who complete the course in good standing. If NWC is approved for a second M.A. degree, graduates of this course would earn the M.A. in Defense and Strategic Studies. The resident M.A. curriculum is depicted as:



The College's graduate academic programs fit within the Navy's Professional Military Education (PME) Continuum, which provides many educational opportunities for officers and enlisted sailors at each rank. The PME Continuum has grown significantly over the years as courses have been added and developed. The Introductory, Basic, and Primary PME courses for both officers and enlisted have been added online and are offered via Navy Knowledge Online (NKO). For the online course, there are more than 160,000 students and more than 20,000 graduates.

## Description

### Degree Programs

#### College of Naval Warfare

The College of Naval Warfare (CNW) is a ten-month senior-level PME program, which meets the statutory requirements for Joint Professional Military Education Phase II (JPME II) and is designed to produce broadly educated strategic leaders who possess a strategic perspective underpinned by strategic analytical frameworks. Students apply disciplined, strategic-minded, critical thinking to challenges in multi-service, multi-agency, and multinational environments. Graduates are able to act as strategic planners and joint warfighters who are effective maritime advocates.

The CNW curriculum is centered on three core courses plus electives or applicable research programs. U.S. students take one core course and one elective during each thirteen-week trimester of the academic year. Students in the core courses share the same academic schedule, use the same syllabus with course readings, and take the same tests and other graded events.

The curriculum emphasizes critical thinking and reasoning skills rather than absorbing or memorizing factual knowledge. There is adequate time throughout the semester for students to think and reflect on the subject matter. Seminars are based on the Socratic Method in which faculty members ask pointed questions to encourage discussion and sharing ideas.

The educational outcomes for the Senior-level College of Naval Warfare include:

- **Skilled in Formulating & Executing Strategy & U.S. Policy**
  - Skilled in the art and science of strategy -- Steeped in the integrated employment and strategic effects of military and non-military instruments of national power in many different types of war and in all phases of the cycle of war and peace
  - Competent in embedding flexibility and adaptability in strategic-level plans which allow for uncertainty, ambiguity, and emerging conditions
  - Capable of anticipating, perceiving and adapting to opportunities, interdependencies, and patterns among diverse systems
  - Capable of contributing directly to the strategic, operational, and resource planning processes that will shape the future of our nation's security
  - Prepared to serve as sought-after, trusted advisors in senior service, joint, and interagency positions and confident, broadly educated spokespersons for the profession of arms
  
- **Skilled in Joint Warfighting, Theater Strategy & Campaign Planning**
  - Skilled in formulating theater policies, strategies, and plans that integrate and leverage military and non-military capabilities that advance national interests and achieve national objectives
  - Proficient in applying operational art to joint warfighting and the maritime/joint planning processes
  - Competent in planning campaigns and operations, with military power as leading or supporting element
  - Informed and effective joint and maritime advocates within joint/combined environments at JFC/Component CDR level
  - Skilled in aligning and maximizing capabilities across components, services, agencies, and nations in both planning and execution
  - Imbued with a joint perspective and fluent in joint concepts, doctrine, systems, languages and processes
  
- **Capable of Strategically-Minded Critical Thinking**
  - Disciplined in applying critical analysis across full spectrum of national security environments/operations
  - Proficient in applying effects-based thinking & risk management in all facets of decision making
  - Skilled in formulating comprehensive long-range, strategic assessments
  - Able to bring a broad perspective of regional expertise and cultural awareness to strategic assessment and problem solving

- Capable in future force structure planning in the context of scarce resources
  - Understands the resource planning processes
  - Disciplined in developing and applying measures of effectiveness to gauge progress and exercise sound resource stewardship
- **Capable of Excelling in Positions of Strategic Leadership**
- Skilled in articulating intent, then communicating it to a varied and dispersed audience
  - Competent in fostering responsibility, accountability, selflessness and trust
  - Skilled in challenging assumptions and anticipating and leading change
  - Informed in inspirational and transformational leadership
  - Competent in strategic communications
  - Aware of strategic decision making by real world, strategic leaders in peace, crisis, and war

The College awards senior-level PME with JPME Phase II credit and a Master of Arts degree in National Security and Strategic Studies to U.S. graduates. The senior college includes a small number of U.S. civilian students with experience in federal agencies and departments. Additionally, foreign military officers of the Naval Command College are embedded with their U.S. counterparts in the CNW academic program.

### **Joint Military Operations Course (JMO)**

The JMO course is an in-depth study of the theater-strategic and operational levels of war across the range of military operations. The trimester refines students' critical and creative thinking skills under the aegis of military problem solving. The course is logically presented in a series of nested sessions, each intended to draw on those that preceded it and to reinforce those that follow.

JMO prepares students for operational assignments by emphasizing problem solving through operational planning and joint force application to achieve military objectives. Joint operations are examined from the perspective of a combatant commander or Joint Task Force commander. The course uses extensive readings and case studies to challenge students with four enduring questions from the joint force commander or staff perspective:

- What are the objectives and desired end state? (Ends)
- What sequence of actions is most likely to achieve those objectives and end state? (Ways)
- What are the resources required to accomplish that sequence of actions? (Means)
- What is the likely chance of failure or unacceptable results in performing that sequence of actions? (Risks)

The JMO seminar, using the Socratic Method, is the fundamental learning forum, with student expertise being a significant part of the learning process. JMO also utilizes

case studies, selected readings, and practical exercises to ensure course objectives are met. A two-person faculty team meets with their 13-14 student seminar three hours a day, four to five days a week. Exercises and lectures make up the average contact time of 16 hours every week over the course of 13 weeks. In addition to the 12–15 hours of in-class and 36–45 hours of out-of-class work per week, students are expected to dedicate 80-100 hours to researching, drafting, and producing an acceptable research paper.

The final event of the senior-level course trimester is a capstone synthesis event intended to fuse all aspects of the trimester using a realistic scenario in which students investigate current issues in a pre-selected country and recommend solutions. At the conclusion of JMO, senior students are capable of leading a Joint Planning Group in a problem solving endeavor, fostering critical and creative thinking skills in subordinates, and demonstrating fluency in both operational art and joint terminology, significantly covering three of the four educational outcomes.

### **National Security Decision Making (NSDM)**

The NSDM course educates military officers and U.S. government civilians in effective decision making and leadership on national security issues, particularly involving force selection and planning challenges. The course pays special attention to: the changing domestic and international economic, political, and military environments affecting national security, including a detailed overview of significant trends in the international order; the context of and political, organizational, and behavioral influences on national security decision making and implementation within the U.S. government; major joint military force planning concepts, issues and choices; the structure and process for planning and programming joint military forces and the interface of that process with the federal budget process; a conceptual understanding of the tools for critical thinking and deciding among complex defense issue alternatives; regional issues, interests, and cultural factors that affect the U.S. policy making process; selecting leadership strategies to achieve key goals within complex national security organizations through the use of case studies to profile senior leaders, both domestic and international, in the political, military, diplomatic and business fields; and understanding and applying different models for understanding decision making and outcomes. The course is intended to expand the student's personal philosophy of what constitutes an integrative, balanced, executive point of view. The outcome of the course is an officer or civilian who is capable of successfully leading change in large, complex organizations poised to meet national security challenges in an uncertain international security environment and is able to function effectively in senior positions within the U.S. national security establishment.

NSDM consists of three sub-courses and a capstone final exercise. The three sub-courses are Security Strategies, Policy Analysis, and Leadership Concepts. The three NSDM sub-courses are derived from a level of analysis framework (international/systemic, national/organizational, and individual/personal) and are taught in parallel to allow for more detailed examination of critical issues. Security Strategies examines major international trends in global security and economics; undertakes a "walk around the world" to look at the principal national security challenges in every region of

the globe; examines the principal theoretical approaches to structuring national security policy (e.g., offshore balancing, primacy, liberal internationalism) and ends with a detailed examination of the principal national security documents of the U.S. Government. Policy Analysis looks at how international affairs influence domestic policy makers; the structure and dynamics of the Executive Branch in national security affairs and its relations with the other two branches of government, utilizing decision making perspectives derived from the discipline of foreign policy analysis to help elucidate decisions (e.g., rational actor model, bureaucratic politics); at the role of domestic influences (e.g., public opinion, the business community) on policymaking; and finally, looks at how the U.S. Government procures, equips and plans for forces that align with the strategic documents that are being examined in the Security Strategies sub-course. The Leadership Concepts sub-course engages in an in-depth examination of a particular leader or group of leaders to plumb leadership styles and responses to challenges and to align the personal leadership focus with strategic and policy issues being simultaneously discussed in the other two sub-courses.

Each sub-course relies on the seminar method and meets two to four times per week for 90 minute sessions. There are also several panels and lectures which permit faculty and guest speakers to share their experiences in the national security community with students. The students are evaluated by a mix of criteria, including a detailed research paper on a strategic topic; an in-class exam that replicates analyzing feasible policy options for a given national security problem under time constraints; and a leadership essay and assessment of in-class contributions.

The NSDM Final Exercise is the twelve-day, culminating event of the course. It builds upon the concepts and issues examined in the three sub-courses, and integrates them. The exercise provides an opportunity to apply the course concepts to the complex problems of developing national security strategy and determining the size and mix of future military forces to cope with anticipated threats and challenges over a twenty-year period and to do so within the parameters of budget limitations. As with the JMO capstone event, faculty have significant opportunity to directly observe the degree to which students have synthesized course material and met educational outcomes.

### **Strategy and Policy (S&P)**

The S&P course focuses on educating students to think analytically and critically about strategy and the achievement of long-term security; to develop a disciplined, critical approach to strategic analysis; to understand the fundamentals of military strategy, grand strategy, national policy and the interrelationships between them; and to appreciate political leaders in policy formulation, military planning, and the conduct of war. The outcome of the course is an officer or civilian prepared for assignments that require strategic leadership – someone who recognizes the value of and is capable of dispassionate analysis of strategic issues and formulating strategic options and alternative strategies for achieving national policy objectives in war and peace.



The curriculum draws on a number of disciplines and makes use of a number of case studies which are distinctive in three respects. First, the course examines the strategic dynamics of long wars marked by protracted periods of intense fighting, producing truces and peace settlements, as well as interwar and prewar eras, cold wars, and crises leading to war. Second, leading strategic thinkers and case studies examine diverse types of wars, featuring a variety of operations and different keys to success. Third, the course analyzes the strategic success and failure of leading great powers and non-state actors over long periods of time. Although fundamentally historical in nature, case studies are used to provide evidence with which to examine a variety of types of strategic challenges which reappear throughout history.

Each S&P case is studied for one week through a combination of presentations, readings, tutorials, student essays, and seminars. Approximately 600 pages of reading are assigned each week. Each student also writes two analytical essays that require critical thought during the trimester. The student essays are distributed to other students and become part of the weekly readings. The material presented in the lectures, readings, and student essays is discussed in a three and half hour seminar moderated by a teaching team which includes a civilian professor and a military officer. The capstone event in S&P is a final essay exam.

### **College of Naval Command and Staff (CNC&S)**

The CNC&S is a ten month intermediate-level PME program with JPME I designed to produce leaders who are skilled in warfighting; the joint planning processes, concepts, systems, and terminology; and are capable of applying operational art in maritime, multi-service, multi-agency, and multinational environments. Graduates apply disciplined, critical thinking from an operational perspective. Graduates will be capable of excelling in command and operational-level staff billets on a fleet, joint, interagency, or multinational staff.

The course provides a focused, intermediate-level education by thoroughly examining the operational level of war and operational level leadership. The Joint Maritime Operations course has been extended to 16 weeks to provide more planning opportunities. The Strategy and War course was shortened to reflect greater emphasis at the theater-strategic level. Additionally, the Theater Security Decision Making course is now focused at the theater-strategic level including the activities of regional combatant commanders.

The educational outcomes for this course are:

- **Skilled in applying OPART to Maritime, Joint, Interagency, & Multinational Warfighting**
  - Understands the operational challenge of changing domestic, regional, and global security environments

- Confident with the concepts, doctrine, systems, languages and processes required to employ naval forces effectively in the joint, interagency, and multinational environments
  - Skilled in applying Sea Power to achieve strategic effects across the range of military operations
  - Capable of integrating naval/military power with other national instruments of power
  - Informed of challenges in accomplishing interagency/multinational coordination
- **Skilled in Joint/Navy Planning Process**
- Fluent with the joint warfighting planning processes – deliberate, contingency and crisis action
  - Skilled in applying naval perspective throughout planning’s analytical frameworks
  - Competent in Planning/Order writing with real-world scenarios at JFMCC/JTF level
  - Prepared for the challenge of applying regional knowledge & cultural awareness to planning and execution of naval & joint ops
  - Knowledgeable in the formal DoD Resource Allocation Process and Joint Capabilities and Integration System (JCIDS)
- **Capable of Critical Thought with Operational Perspectives**
- Empowered with analytical frameworks to support the decision making process
  - Disciplined in applying these frameworks, which incorporate effects-based thinking, risk management, return on investment (ROI), and best business practices, to decision making
  - Aware of critical thinking and decision making by real world, operational-level leaders
  - Imbued with a comprehensive operational-level perspective
- **Prepared for Operational-Level Leadership Challenges**
- Skilled in persuasive leadership: fostering collaborative relationships, building teams and trust, conflict management, negotiation, and effective communications
  - Competent in operational-level problem solving, creative thinking, and change management
  - Informed about the unique challenges in leading from the middle
  - Confident with the full range of action officer responsibilities
- **Effective Maritime Spokespersons**
- Steeped in maritime dimensions of warfare
  - Knowledge of operational warfare at sea – past, present, and future
  - Conversant in full range of naval capabilities

- Informed in operational command and control issues, especially for the Joint Force Maritime Component Commander (JFMCC)

The resident, intermediate-level CNC&S curriculum is centered on three core courses plus electives and research programs. The U.S. students take one core course and one elective during each eleven to sixteen-week trimester. The course emphasizes understanding the factors related to theater-strategic, operational, and force-planning decision making; it also aims to enhance the students' ability to solve complex problems. Graduates can articulate their analysis, conclusions, decisions and recommendations.

### **Joint Maritime Operations**

The Joint Maritime Operations intermediate-level course prepares future military and civilian leaders for mid-level policy and command and staff responsibilities requiring joint and service operational expertise and war fighting skills. A practitioner's course, it prepares students to excel in the operational arena through an understanding of the effective use of operational level planning involving joint/coalition forces and interagency partners to achieve military objectives. Each session has tailored objectives that support the following course objectives: expand critical and creative thinking and develop problem solving skills as they pertain to operational level decision making and leadership; develop students who are grounded in operational art and its application across the spectrum of conflict; effectively apply the Joint/Navy Planning Process to meet national security challenges and develop skills required to function as a member of a joint, interagency or multinational planning group; understand the maritime dimensions of operational warfare.

In the ever-changing complexity of today's conflicts, greater clarity of the current operational environment is necessary to highlight the challenges. To address these challenges the intermediate-level course focuses on improving the student's ability to think critically and make decisions from the high tactical through operational levels of war. Students are immersed into operational art and maritime warfare theory building an intellectual foundation necessary for success. Studying theory prepares students to examine the entire spectrum of conflict by introducing and applying a theoretical framework at the operational level of war. In unique sessions on maritime warfare theory students are introduced to the maritime domain in the context of operational art and discussions focus on the theory and practice of operational warfare at sea. Operational law is also introduced to emphasize familiarity with the laws of armed conflict as well as maritime aspects of law providing students additional skills to meet future objectives.

The intermediate JMO course is presented in the spring trimester and relies on the seminar method to create a challenging learning environment. A two moderator faculty team meets with their 15-17 student seminar three hours a day, four-five days a week. Exercises and lectures make the average contact time 16 hours per week for 16 weeks. In addition to the average workload of 12-18 hours of in class work, and 25-30 hours of out of class work, students are expected to dedicate 80-100 hours to researching, drafting and producing an acceptable graduate-level research paper. The course has both oral and

written requirements that provide opportunities for students to demonstrate their competence. These work as feedback mechanisms between students and faculty.

The final event of JMO is a capstone synthesis event intended to integrate all major course themes and outcomes. This exercise is conducted at the Joint Task force level and continues to refine the students' abilities to conduct crisis action planning at the operational/theater strategic level of war.

### **Theater Security Decision Making (TSDM)**

The CNC&S TSDM course educates military officers and U.S. government civilians in effective decision making and leadership on security issues, particularly those involving force selection and planning challenges within national and theater resource constraints. The course is focused at the theater/regional level (as opposed to the national/Washington level in the senior NSDM course). Every student is assigned, based on interest and future career trajectory, to a seminar that is defined by one of the geographic combatant commands—Pacific Command, European Command, Central Command, Africa Command, or Southern Command—and uses this regional focus as a lens to examine national defense strategies and military strategic concepts; military service and joint military concepts; the tools of national power including economic, diplomatic, information, and military power; regional knowledge and cultural awareness from a combatant commander's perspective; an understanding of the tools associated with critical thinking and deciding among complex defense issue alternatives; clear and effective writing and briefing skills; staff structures, processes, procedures and the skills necessary to excel in the staff environment; management techniques and skills that complement leadership skills; the changing domestic and international economic, political, and military environments affecting national security; and the defense resource planning and allocation process and its relationship to staff functions. The outcome of this course is an officer or civilian who is capable of succeeding in command and staff positions in the increasing complex national security environment.

TSDM also uses the “levels of analysis” framework to break up theater security into three sub-courses (Security Strategies, Policy Analysis, and Leadership Concepts) and a final exercise. The Security Strategies sub-course is designed to enable intermediate-level students to comprehend national security strategy and to couple this knowledge with the tools required to be competent staff officers. Students are organized into regionally-oriented seminars and challenged to develop an awareness of how all the elements of national power might be utilized within the contexts of the specific challenges of a given regional combatant command. This sub-course provides a comprehensive review of America's principal strategy documents from the perspective of a staff officer working for a regional combatant commander.

The Policy Analysis sub-course is designed to strengthen the student's professional competency by providing a better understanding of the domestic U.S. policy making environment and how theater security policy is formulated and executed. The sub-course focuses on the environment created by legislative statute and executive order

in the Office of the Secretary of Defense, the Joint Staff, the Combatant Commands, the Services, and in major staffs, as well as within the national security interagency process. It provides a good understanding of how policy, policy recommendations, and associated decisions are made. Attention is also paid to how Congress, the media, the public at large, and international developments can influence the U.S. policy process.

The Leadership Concepts sub-course provides students a valuable learning opportunity to think deeply about leadership and examine several tools which may allow them to serve successfully in future assignments. There is an emphasis on using examples that connect with the themes being taught in the Strategies and Policy sub-courses (e.g., the role of a staff officer in implementing a security assistance package). Case studies are used throughout the sub-course to illustrate different aspects of successful leadership and management in national security organizations. As in the senior course, the students are evaluated by a mix of criteria, including a detailed research paper on a regional security topic of their choosing; a “write for life” exam that replicates analyzing feasible policy options for a given national security problem under time constraints; a leadership essay, and assessment of in-class contributions.

The final exercise is the TSDM capstone event that provides students an opportunity to exercise the concepts and material learned throughout the TSDM course. Each seminar works to develop and present an executive-level strategic estimate of the future security environment over the next eight years, a theater strategic vision, and a prioritized listing of new or improved capabilities/concepts that the regional combatant commander would need to advance that strategy.

The three TSDM sub-courses are taught in parallel during the trimester. Each relies on the seminar method and meets in 90 minute sessions two to four times per week. There are also several lectures and panels with guest speakers or faculty members about the national security community.

### **Strategy & War (S&W)**

The S&W course is focused on educating students to think analytically and critically about strategy during war and conflict situations. The curriculum has two components: a study of foundational theories of war and analysis of key historical case studies. The outcome is an officer or civilian who can think in a disciplined, critical, and original manner about the international strategic environment, about the range of potential strategies, and about the strategic effects of joint, interagency, and multinational operations.

The curriculum uses a number of case studies to explore and validate the nine course themes. The themes enable students to get beyond the history to focus on strategy. Themes are divided into two broad categories: those dealing with the process of matching strategy and operations; and those concerning the environment in which the process takes place.

Each case is studied for one week through presentations, readings, student essays, tutorials, and seminar discussions. Students read approximately 600 pages each week and write two analytic essays during the trimester. Student essays are distributed to other students in the seminar as reading assignments for the following week. Seminars meet for three hours each week and are moderated by a teaching team of a civilian professor and a military officer.

### **Additional Common Academic Program Elements for Resident Students**

#### **Speakers' Program**

The NWC Speakers' Program comprises several concurrent lecture series. Each has a post-lecture dialogue following the scheduled lecture. The series of lectures by senior defense leaders, such as regional combatant commanders, service chiefs, or senior leaders of the interagency community, exposes students and faculty to current security challenges and the strategic perspectives of these senior leaders. The evening lecture series provides students a broad range of views by bringing speakers with national reputations or unique perspectives to the College and the local community.

NWC also provides an extensive lecture-of-opportunity program for the students, faculty, and staff. A number of these guest speakers are invited to speak specifically for the benefit of students concerning contemporary issues or operational-level topics.

#### **Conferences**

As a part of the academic program, students attend at least three conferences. The academic year begins with a Professional Ethics Conference on the day of Convocation. Students are exposed to the College's ethics program and begin a dialogue that continues throughout the year. There is a mid-year ethics conference for CNC&S students in November and an end-of-year ethics conference for all students in May. These both have guest speakers and panels that highlight contemporary ethical issues. All students also attend the Secretary of the Navy's Current Strategy Forum (CSF) in June.

#### **Resident Electives Program**

The elective courses are now offered in 21 distinct areas of study (AOS). The elective program offers 15 areas of individual study ranging from five regional area studies to leadership and ethics, and many more. There are also six areas of study designed for group study. These include Halsey A & B, the Mahan Scholars, the Gravely Group, Joint Land Aerospace and Sea Simulation (JLASS) and the Maritime Advanced Warfighters School (MAWS). Interested students normally apply and are selected to the group study programs.

All resident students take one elective during each trimester. The elective courses take approximately 20% of the students' overall academic effort and meet three hours each week for ten weeks.

## **Non-Resident Graduate Degree Program (GDP)**

The non-resident GDP administered by the College of Distance Education (CDE), provides an opportunity for those who cannot attend in residence, but who can participate in the Fleet Seminar Program, to earn the NWC MA degree. Students in the Fleet Seminar Program, taught in fleet concentration areas around the country (including Newport), may apply to the GDP upon successful completion of their first course. Upon completion of all requirements, the degree is awarded by the College of Naval Command and Staff (CNC&S).

The degree requirements follow those of the CNC&S. The core course requirement consists of the three courses offered by CDE's Fleet Seminar Program (S&W, JMO and TSDM) for a total of 21 semester credit hours. The remaining nine semester credit hours make up the elective requirement. All coursework used to meet the elective requirement must fall under a single elective area of study. While a limited number of elective courses are offered by CDE's Web-Enabled Program, the majority of GDP students meet this requirement by taking courses from non-NWC sources and applying to have those credits transferred. Such courses must be taken from institutions regionally accredited to award graduate degrees (or in certain cases recommended for graduate credit by the American Council of Education) and be approved for transfer by the Graduate Degree Program Manager under guidance provided by the Associate Dean of Academic Affairs for Electives and Directed Research. Begun in the fall of 2001, the GDP has grown and, in May 2014, reached an all-time high of 719 students.

## **Appraisal**

The faculty remains the heart of this institution and its members are deeply committed to their responsibilities. They not only design and refine the curricula using formal and informal data collected from internal and external sources; they also establish a pattern of reaching ever higher levels of academic excellence. The highly professional student body demands the best possible courses with current and relevant material, and the faculty delivers. The College continues to recruit first-rate and appropriately credentialed academics and practitioners.

The faculty created a curriculum with necessary tools to gauge student learning outcomes. Each of the core courses is cumulative, arranged with a variety of case studies, in-class applications, group exercises, papers, examinations, and in two departments, capstone exercises designed for direct observation of student application of course concepts. The College's rich mix of academics, civilian practitioners, and military professionals facilitates the distinct understanding of necessary learning outcomes and spurs development of the best ways to ensure the design of the curricula creates opportunities for observation and evaluation.

Institutional research gathered over the past several years clearly indicates that graduates achieve the educational outcomes listed for each of the degree granting

programs. Incoming students are queried by survey, shortly after arrival, concerning their proficiency with each of the outcomes. Graduating students are also queried by survey on these same outcomes weeks prior to graduation. In almost every case, the data gathered indicates an improvement in the mastery of our desired outcomes. Selected graduating students also participate in focus groups geared to gather information about their educational experience. Qualitative data gathered from the focus groups also supports that students are achieving the desired learning outcomes.

Alumni are asked to complete alumni surveys at the two, five, and seven year marks subsequent to their graduation. In recent years, alumni have been asked to rate their mastery of the desired learning outcomes. Overwhelmingly, alumni provide positive feedback and indicate their proficiency with the learning outcomes. The survey data supports this observation.

Each of the three core courses also includes a comprehensive examination or capstone exercise that enables students to demonstrate proficiency of the course learning outcomes. Moreover, because of the seminar approach (14-16 students) faculty members are able to develop close professional relationships with the students in their seminars and to observe student progress in achieving the desired learning outcomes.

### **Degree Programs**

As a result of the decision to offer two distinct programs beginning in 2006, the academic departments conducted internal program reviews in order to decide how to accomplish two distinct sets of outcomes. Another round of review commenced when the Dean of Academic Affairs position was separated from the Provost/Dean of Faculty position. The academic departments created new organizations to review curriculum and meet learning objectives as well as the objectives of external stakeholders.

### **College of Naval Warfare**

The senior-level course was certified in May 2007 and accredited in May 2009 by the Chairman, Joint Chiefs of Staff for Joint Professional Military Education Phase II. To ensure that the professional military colleges meet the statutory requirements in terms of specified learning requirements and more general higher educational standards, the process for accreditation of joint education is patterned after the practices and processes used by the Commission on Higher Education of the Middle States Association of Schools and Colleges. There were no significant problems in meeting the joint standards for either review. These external reviews reinforced the College's self-assessment that it continued to uphold its high standards for academic excellence while realigning the senior and intermediate courses and expanding the academic faculty.

Data from the surveys administered at graduation and to alumni indicate a very high level of satisfaction by these mid-career students with this professional educational experience. They find the curriculum relevant, current and rigorous. They evince a high regard for the faculty and a high degree of satisfaction with the academic program. They



believe the curriculum, despite its distinct perspectives, forms a cohesive whole. The faculty is lauded for its dedication, instructional deftness, and concern for the students.

### **Joint Military Operations**

The strength of the JMO senior course is threefold: (1) an academically rigorous, objective driven syllabus; (2) a knowledgeable and professional faculty who are successful practitioners of military operations, and; (3) abundant hands-on student contact time using the seminar method of instruction. JMO professors average 184 contact hours with students in 42 nested sessions and an additional 40 hours assisting their students with the research paper. Student ratings of the JMO Course are consistently high; both the seminar method of instruction and the faculty are consistently top-rated.

### **National Security Decision Making**

The strength of the NSDM senior course is delivering a professionally-relevant yet academically rigorous course in contemporary national security affairs that tracks and aligns with similar graduate courses of study in civilian academia. Students have recognized the future value of this course in making them fluent in the language of national security affairs by exposing them to the debates, issues and processes which define the U.S. national security apparatus at its senior levels of operation.

### **Strategy & Policy**

The strength of the S&P senior course is in delivering instruction that prepares future strategic leaders who are capable of thinking strategically over the long-term. The course rests on the solid foundation of major theories of security in war and peace and careful student analysis and critical evaluation of historical case studies that include: long-term competitions between major powers, containment of hostile non-state actors, and adjustments to shifting arrangements of power and the impact of new technologies and economic developments. The strength of the S&P senior course resides in the realm of strategy known as grand strategy, or the theory for achieving long-term security.

## **College of Naval Command and Staff**

The intermediate-level resident course and the four non-resident intermediate-level programs were accredited in October 2009 by the Chairman, Joint Chiefs of Staff for Joint Professional Military Education Phase I. There were no significant problems for either review.

Data from the surveys administered at graduation and to alumni indicate a very high level of satisfaction by these earlier mid-career students with this professional educational experience. They find the curriculum relevant, current and rigorous. They evince a high regard for the faculty and a high degree of satisfaction with the academic program. They believe the curriculum, despite its distinct perspectives, forms a cohesive whole. The faculty is lauded for its dedication, instructional deftness, and concern for the

students. Data from the end-of-course and graduation surveys indicate significant success by students in terms of the educational outcomes.

### **Theater Security Decision Making**

The strength of the TSDM intermediate course is in providing the student with a regionally-focused course that exposes him or her to some of the significant challenges and issues in a specific part of the world and develops an understanding of how the U.S. national security system formulates and executes an effective response to those problems in accordance with U.S. strategic documents. This also aligns with the mandate to give NWC students greater regional awareness as part of their required military education.

### **Strategy & War**

The strength of the S&W intermediate course is in delivering a course that prepares future strategic leaders who are capable of thinking strategically in the event of future conflicts or wars. The course rests on major theories for how to achieve victory over a variety of adversaries and in different types of wars. The strength of the S&W intermediate course resides at the intersection of strategy and operations, and is especially evident in student essays that analyze the strategic effects of operations in past wars and the crucial relationship between strategy and policy goals.

### **Joint Maritime Operations**

The strength of the JMO intermediate-level course is threefold: (1) an academically rigorous, objective driven syllabus; (2) a knowledgeable and professional faculty who are successful practitioners of military operations, and; (3) abundant hands-on student contact time using the seminar method of instruction. JMO professors average 240 contact hours with students in 71 nested sessions and an additional 40 hours assisting their students with the research paper. Students consistently rate the JMO intermediate course as most productive and challenging.

### **Curricula Development**

The faculty in each of the three core teaching departments is responsible for the relevancy and currency of their curricula. While the rhythm for curricular assessment and development varies by department, the major elements of the curricular development process are commonly practiced by each department, honed by years of practice. The departments use both formal and informal self-assessment processes. The formal self-assessment process includes a Student Academic Committee process, a student critique program, and a faculty critique program, culminating in an academic retreat where faculty research and recommendations are weighed and curricular changes are determined. Each department briefs proposals to the Dean of Academic Affairs, the Provost and, if necessary, the President.

The student critique program allows every student to comment on the course make-up, lessons, materials, and methods of teaching. The primary assessment tool from students for each of the teaching departments is an end-of-course survey submitted by all students. Curriculum performance is contrasted to other years in order to measure how performance has been trending. Other data provides the department insights as to how the elements of the curriculum are seen by the students.

Informal feedback occurs routinely at NWC. Each seminar's Student Academic Representative is responsible for collecting and conveying students' concerns regarding academic matters. Faculty moderators normally foster a close relationship with the student representative who serves as a conduit for student feedback. Faculty members regularly meet with individual students. Tutorial sessions provide additional opportunities to discuss curriculum content with students. Graduation surveys continue to indicate students often discuss academic matters outside of the classroom with faculty.

The faculty is deeply involved in assessing the curriculum. Ownership of the curriculum remains a key factor in the College's academic success. The faculty has a strong interest in maintaining quality in the curriculum and can flex quickly to make changes that support the interests of the defense community, the Navy, and the students.

Data and assessments from the graduation and alumni surveys are provided to the College's leadership and the Academic Policy Council members including the Chairs of the core teaching departments for their use in the curriculum development process. This ongoing self-assessment helps to ensure that the curricula and supporting materials remain current, relevant, and comprehensive to both the intermediate and senior-level education at the Naval War College.

### **Graduate Degree Program**

The Graduate Degree Program provides opportunity for an increased number of eligible personnel to work toward, and be awarded, the Master of Arts in National Security and Strategic Studies. This number is theoretically capped only by the number of students that can be supported by the Fleet Seminar Program which currently has approximately 1100 seats per academic year. Just prior to 2014's graduation of 174 students, the program reached an all-time high of 719 enrollees.

Despite a 30 percent increase in the number of students in the last four years, the NWC has not had to make a corresponding increase in the expenditure of resources. Expanded use of NWC's new student database software system (brought online during the summer of 2010) and improved/streamlined internal procedures have allowed the program to expand while increasing the level of service available to the students. This program of increasing efficiencies is an ongoing one that is vital to the smooth running of the Graduate Degree Program (GDP) given today's fiscal environment, and was successfully tested during the recent cuts associated with sequestration and the partial government shutdown.

While NWC's Web-Enabled Program has increased the number of elective courses it offers from 8 to 14 over the past five years, this increase has not been enough to allow all GDP students to complete their requirements solely through NWC courses. This, however, has not been a major obstacle, even when the budget related issues during 2013 caused a cancellation of approximately 20 percent of the Web-Enabled Program's elective courses increasing the number of courses needing to be taken through non-NWC sources. The marked increase of online courses offered by an increasing number of regionally accredited institutions has actually allowed more and more GDP students to undertake a plan of study that is more tailored to their specific needs, priorities and interests. While non-NWC courses appropriate to some areas of study are difficult to locate (e.g., Operational Law, Africa), the large number of appropriate courses for others (e.g., Irregular Warfare, Strategy Operations, Military History) actually provide some GDP students with more flexibility than is available to many resident students.

Finally, it should be noted with strong emphasis that a large portion of the reason for the success and growth of the GDP has been the quality of the educational experience provided to the students during their first Fleet Seminar Program course by the many adjunct faculty members located throughout the country.

## **Projection**

The Professional Military Education programs at the Naval War College continue to undergo continuous, close scrutiny by Congress, the Secretary of Defense, the Chairman of the Joint Chiefs of Staff, the Secretary of the Navy, the Chief of Naval Operations, the College's leadership, and most importantly, the faculty. The College continues to be tasked to conduct reviews of specific topics in support of higher headquarters. Each of these reviews examines the quality of the College's programs. The NWC is committed to maintaining high academic standards and educational quality.

The ongoing challenge is ensuring that educational outcomes reflect what is required of our graduates. Our program for ensuring their continued effectiveness continues to mature. Another concern is maintaining curriculum alignment. Because we have three matriculations and three graduations per academic year, the faculty must build self-contained core courses rather than progressive curriculum as done at the other PME schools. This concern is complicated by the three different and distinct departmental rhythms for curriculum development based on faculty time and availability. The College's leadership is aware of these challenges and actively addresses them.

## **Curricula Development**

The primary challenge for curricula development is faculty time. Faculty time affects curriculum development, scholarship, recruitment, and retention. Although the curriculum has kept pace with the changes in our national security environment, it has done so at a cost to faculty scholarship. Management of faculty workload with a better balance of curriculum development and faculty scholarship is a key element in the College's success in the future.

Another challenge to curricula development is future resource constraints. The recent sequestration and restrictions on conferences have impacted faculty development. The outlook for resources in the future continues to look dismal. The College leadership understands and will continue to prioritize requirements so that the education for our students continues to maintain a high quality.

## **Degree Programs**

### **College of Naval Warfare**

#### **Joint Military Operations**

Joint Military Operations are constantly evolving, and JMO's senior course is reviewed and updated annually to keep pace with these changes. Joint Doctrine, as well as Service Doctrine and senior leader guidance are updated often, driving additional change. The faculty is the vital factor in keeping the course relevant; JMO's large contingent of active-duty military faculty brings a wealth of new ideas and practices from the field. Moreover, JMO also conducts faculty development for both military and civilian faculty, bringing speakers and personnel from other military organizations to speak, as well as travel to other organizations—U.S. Central Command, U.S. European Command, the Army War College—and then brief the JMO faculty to ensure they remain current on both military theory and practice. Finally, the Senior Course Coordinator schedules weekly assessment meetings while the course is active, capturing senior faculty thoughts on how that week's sessions went (readings, time allotted, sequencing, etc.) so as to improve the course the following year.

The department's main challenge is time. The JMO faculty, like the other departments, teaches both the senior and the intermediate courses. The JMO faculty, however, teaches more weeks than any other department; these factors reduce the time available for faculty development and syllabus updates. Additionally, while the turnover in active duty military personnel provides the most recent field experience, it also reduces continuity and the number of people who understand the syllabus and can contribute substantially to curriculum development.

#### **National Security Decision Making**

The faculty consistently monitors the journals and new books and monographs being released in the areas of international relations, regional studies, foreign policy analysis, and leadership and cognitive fields in order to ensure that students are exposed to the cutting edge scholarship in these areas. In addition, the practitioner speaker series not only exposes the students to senior level former officials but provides the faculty with the opportunity to engage with them, to mine their experiences for use in curriculum development. There is also an effort to utilize published faculty research, especially in the areas of security policy and civil-military relations, in the curriculum.

## **Strategy & Policy**

Strategy & Policy faculty enhance their ability to deliver the course by engaging directly in the ongoing development of the curriculum, maintaining professional expertise in their areas of specialty, collaborating with colleagues at foreign war colleges and similar institutions, participating in conferences, sharing expertise with the public through interviews and other forums, conducting research in historical archives both within the U.S. and abroad in support of case studies, and publishing in areas of their specialty. Guest speakers, when invited to appear at the College, also bring valuable insights and expertise to the faculty and provide an important link with civilian academia. Faculty research is a vital foundation in support of the Strategy & Policy course. Many of the assigned readings in the curriculum result from faculty research and, in some cases, include the publications of individual faculty members. Faculty members also participate, when required, in the Grand Strategy Workshop sponsored by the College.

## **College of Naval Command and Staff**

### **Joint Maritime Operations**

Joint Military Operations are constantly evolving, and JMO's intermediate course is reviewed and updated annually to keep pace with these changes. Joint Doctrine, Navy Doctrine, and senior leader guidance are updated often, driving additional change. The faculty is vital to keeping the course relevant; JMO has the largest percentage of active-duty military faculty who bring a wealth of new ideas and practices from the field. JMO also conducts constant faculty development by bringing speakers and personnel from other military organizations in order to ensure faculty remain current on both military theory and practice. The Intermediate Course Coordinator schedules weekly assessment meetings while the course is active to capture faculty thoughts on how that week's sessions went, in order to improve the course the following year.

The JMO faculty teaches more weeks than any other department, and the Joint Maritime Operations Course is the reason—it is 16 weeks instead of the usual 13-- and reduces the time available for faculty development and syllabus revisions.

### **Theater Security Decision Making**

As with the senior course, the faculty is constantly perusing the existing literature to keep the course fresh and relevant. A particular challenge for the TSDM course is the lack of materials which explore how the U.S. Government functions at lower echelons (beyond the principals' and deputies' levels) to develop and implement theater security policy, as well as relevant case studies focused on the contributions made by staff officers. There are few memoirs or academic studies that are focused at the assistant secretary level, take a detailed look at how the interagency policy committee process functions, or walk a student through the experiences of a combatant command staff officer. Faculty research has been essential to not only locate useful and academically-rigorous materials, but also to develop in-house case studies and readings and relying on

research and first-person interviews to fill-in the gaps in current scholarship in order to make the course professionally relevant for the intermediate student in terms of his or her likely career progression. This, in turn, has created opportunities for NSA faculty to stake out new ground in the larger scholarly community and creates synergies between curriculum development and faculty research. NSA faculty have also created a number of regionally- and thematically-focused case studies that illustrate TSDM themes and which have been published by the Naval War College (Case Studies in Policy Making) and which have been adopted for use in other PME and civilian institutions.

### **Strategy & War**

Strategy & War faculty enhance their ability to deliver the course in many of the same ways required for delivery of the Strategy & Policy course. Faculty members may also participate in staff rides, conferences, and other professional activities that stimulate understanding of the strategic effects of operations and the relationship between policy and strategy. Faculty members publish their research and make it available to students and the public through a variety of professional journals and publications. As in the case of the Strategy & Policy course, faculty research and publications are frequently used in the development of the curriculum. For both courses, it is imperative then that faculty members continue to actively participate as professionals in their respective scholarly communities

### **Non-Resident Graduate Degree Program**

The primary challenge faced by the non-resident Graduate Degree Program is the growth in the size of the program. While certain processes and procedures can be, and will be, more automated through the use of technology, the large percentage of the service provided to the students still remains one-on-one personal communication. Whether it is a question concerning the receipt of a particular admissions related document or a search for guidance concerning elective courses to take under which Area of Study, students will continue to seek answers and responses that are particular to their situation.

An ongoing challenge is to maintain the program's requirements in such a way that they follow those of the resident College of Naval Command and Staff while recognizing that there will be differences made necessary by the very nature of the GDP and the environment in which its students operate. The communication and cooperation between all parties within NWC, which has been largely responsible for the success of the GDP, will need to continue to sustain the program's level of excellence.

**Standard 4: The Academic Program  
(Summary - Enrollment and Degrees)**

**Fall Enrollment\* by location and modality, as of Census Date**

Degree Level/ Location & Modality	Associate's	Bachelor's	Non-Degree	Int'l Students (Non- Degree)	Master's	Clinical doctors (e.g., Pharm.D., DPT, DNP)	Professional doctors (e.g., Ed.D., Psy.D., D.B.A.)	M.D., J.D., DDS	Ph.D.	Total Degree- Seeking FTE
Main Campus FTE				122	494					616
Graduate Degree Program					185					185
Branches FTE										0
Web Enabled & CD ROM			365							
NPS & FSP FTE			620							620
Overseas Locations FTE										0
On-Line PME FTE			13,570							13,570
Correspondence FTE										0
Other Programs			1,315							1,315
Total FTE	0	0	15,870	122	679	0	0	0	0	16,671
Unduplicated Headcount Total										0
Degrees Awarded, Most Recent Year					603					603

Student Type/ Location & Modality	Non- Matriculated Students	Visiting Students	Title IV-Eligible Certificates: Students Seeking Certificates
Main Campus FTE			
Other Campus FTE			
Branches FTE			
Other Locations FTE			
Overseas Locations FTE			
On-Line FTE			
Correspondence FTE			
Low-Residency Programs FTE			
Total FTE			
Unduplicated Headcount Total Certificates Awarded, Most Recent Year	n.a.	n.a.	

Notes:

- 1) Enrollment numbers should include all students in the named categories, including students in continuing education and students enrolled through any contractual relationship.
- 2) Each student should be recorded in only one category, e.g., students enrolled in low-residency programs housed on the main campus should be recorded only in the category "low-residency programs."
- 3) Please refer to form 3.2, "Locations and Modalities," for definitions of locations and instructional modalities.

\* For programs not taught in the fall, report an analogous term's enrollment as of its Census Date.



**Standard 4: The Academic Program  
(Headcount by UNDERGRADUATE Major)**

\* For Fall Term, as of Census Date

3 Years Prior	2 Years Prior	1 Year Prior	Current Year*	Next Year Forward (goal)
AY 2011-12	AY 2012-13	AY 2013-14	AY 2014-15	AY 2015-16

**Certificate**

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Total	-	-	-	-	-

**Associate**

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Total	-	-	-	-	-

**Baccalaureate**

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Total	-	-	-	-	-

Total Undergraduate

-	-	-	-	-
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\*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

**Standard 4: The Academic Program  
(Headcount by GRADUATE Major)**



For Fall Term, as of Census Date

3 Years Prior	2 Years Prior	1 Year Prior	Current Year*	Next Year Forward (goal)
AY 2011-12	AY 2012-13	AY 2013-14	AY 2014-15	AY 2015-16

**Master's**

CNW	193	189	163	213	201
CNC&S	292	284	270	281	292
GDP	191	184	180	185	180
<b>Total</b>	<b>676</b>	<b>657</b>	<b>613</b>	<b>679</b>	<b>673</b>

**Professional Military Education (PME) Certificate Programs**

<b>International Programs</b>					
Naval Command College (NCC)	45	46	45	50	50
Naval Staff College (NSC)	42	40	43	72	72
<b>College of Distance Education</b>					
Fleet Seminar	256	267	233	252	255
CD ROM	140	106	120	125	125
Web Enabled	204	211	280	240	245
NWC @ Naval Postgraduate School (NPS)	368	354	382	368	370
<b>Total</b>	<b>1,055</b>	<b>1,024</b>	<b>1,103</b>	<b>1,107</b>	<b>1,117</b>

**On-line Professional Military Education (PME)**

Introductory	1920	3,059	2,264	3,000	3,720
Basic	1530	2,710	3,230	4,000	4,920
Primary (Enl)	2514	3,991	4,433	5,500	6,820
Primary (Off)	470	678	869	1,070	1,316
<b>Total</b>	<b>6,434</b>	<b>10,438</b>	<b>10,796</b>	<b>13,570</b>	<b>16,776</b>

**Other Certificate Programs**

MSOC	407	348	381	400	400
Senior Enlisted Academy (SEA)	490	482	466	663	1,200
CFMCC	49	71	46	70	70
JFMCC	13	18	16	17	17
ELOC	41	70	88	75	75
MOPC	0	-	16	15	15
<b>Total</b>	<b>1,000</b>	<b>989</b>	<b>1,013</b>	<b>1,240</b>	<b>1,777</b>

Total Graduate

9,165	13,108	13,525	16,596	20,343
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\*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.



## **Chapter 5 – Faculty**

One of the enduring strengths of the Naval War College is its faculty. The College seeks to recruit, develop, and retain faculty members that are best suited to the College's mission, functions, and tasks. The mission requires the College's faculty to design and deliver a number of short, non-credit, professional courses in addition to its two graduate-degree programs; the College's approach is to organize the faculty accordingly. The graduate-level courses are taught principally by a dedicated faculty under the Dean of Academic Affairs; the non-credit courses are the responsibility of the Dean of the College of Operational and Strategic Leadership and the Director of the College of Distance Education. As a professional military education institution, however, the NWC differs from most other institutions of higher education in several respects.

Internally, the College is structured along the lines of a military organization, and thus it does not have some of the bodies that are common in civilian institutions (faculty Senate, etc.). However, the College does use faculty led and staffed committees as a means to ensure the faculty perspective is considered and incorporated. As an institution focused on professional military education, the faculty is composed of a number of experienced professionals (active duty and retired military and national security professionals) and academics. Externally, the College depends primarily on congressional appropriations allocated directly to it by the Department of the Navy. After more than a decade of war, our nation faces the broader fiscal realities, including sequestration and new government restrictions on travel and conference attendance; resource constraints have become tighter than usual. While the faculty has adapted admirably, continued restrictions have begun to have an impact and could have a wider impact in the future.

### **Description**

#### **Faculty Profile**

Civilian professors, U.S. and international military officers, and representatives from selected U.S. Government departments and agencies constitute the faculty. As all civilian professors are hired under U.S. Code Title 10 authorities, they are collectively referred to as "faculty." However, day-to-day, civilian professors are engaged in a wide variety of pursuits such as teaching in accredited programs, teaching in non-accredited certificate type programs, research and analysis, and war gaming on the basis of their primary assigned responsibility.

The faculty teaching accredited programs is largely located in the three core academic departments -- Strategy and Policy (S&P), National Security Affairs (NSA), and Joint Military Operations (JMO). As of mid-August 2014, the combined faculty of these three departments consisted of sixty military officers and seventy-two civilians. Broken down departmentally, S&P has 17 military and 22 civilians, NSA has 16 military and 29 civilians, while JMO has 27 military and 21 civilians.

The College of Distance Education (CDE) has a total of twenty-five civilian faculty members in residence at Newport who administer and teach the College's non-resident intermediate-level programs, a decrease of one since Academic Year 2009-2010. CDE also has

eighteen faculty located at the Naval Postgraduate School in Monterey, CA and one faculty member located in Washington, DC. Additionally, CDE currently has forty-four adjunct faculty members in the Fleet Seminar Program teaching at nineteen Additional Instructional Locations (AILs) across the country. In the non-degree Web-enabled Program there are thirty-two adjunct faculty who normally teach the 48 annual cohorts (3 courses with 4 cohorts taught 4 times a year). Fifteen adjunct faculty members are under contract to support the non-degree CDROM-based Program grading essays and other written requirements and provide feedback to the students. Some of these adjunct faculty members are employed in more than one program.

The Center for Naval Warfare Studies (CNWS) includes twenty-seven officers (down from thirty-six in 2009) and thirty-four civilian faculty members (up from twenty-four in 2009). While the primary duties of CNWS faculty involve research, analysis, and wargaming, many teach elective courses in the degree program.

The College of Operational and Strategic Leadership (COSL) has eighteen military officers and thirty-two civilian professors (an increase of twenty-two since 2009). The majority of the teaching load in COSL is in a series of non-accredited, programs that are provided in direct support of ongoing Department of the Navy maritime operations. As is the case with CNWS, a number of COSL faculty members are active participants in the Electives Program.

In Newport, the Electives Program makes some use of adjunct professors. When it is necessary to augment resident expertise in the teaching of electives, the College has employed a limited number of adjuncts. For AY2013-14, there were twenty-four adjunct professors teaching a variety of courses, with about half in the regional areas of study.

### **Recruitment, Advancement, and Terms of Employment**

While granted the authority under U.S. Code Title 10 to make direct faculty hires, as a matter of policy and procedure, the College through its various academic units, routinely undertakes advertised national searches to fill civilian faculty positions. These searches are consistent with the norms of the academic units and they place advertisements in the newsletters, job circulars, and websites of the pertinent academic disciplines (especially history, political science, international relations, and area studies), in *The Chronicle of Higher Education*, *Affirmative Action Register*, *American Association of Hispanics in Higher Education*, *Tribal Council Journal*, *Journal of Blacks in Higher Education*, *Women in International Security*, and occasionally in newspapers and non-academic journals with intellectually oriented readerships.

Though the salaries and benefit packages offered by the College are consistent with the Secretary of the Navy's Faculty Schedule and have been competitive in the past, the effect of a government-wide three-year salary freeze cannot be ignored. The executive leadership of the College and the various departmental chairs continue to closely monitor this situation and there is concern that the College may be losing some of its competitive edge in the ability to recruit the faculty that it wants. In 2007, a faculty-led effort examined the competitiveness of faculty salaries. In 2013, the Naval Inspector General also examined the College's compensation of faculty. The College will be re-examining its compensation policies and practices. The College has continued to attract superb scholars and teachers or researchers who contribute fully to the

College's mission and help to sustain our standard of academic excellence, but it also must be noted that salary and professional development funding has been questioned by recent candidates.

Military faculty members are ordered into the College by their parent service. The Director of the Joint Staff and the Directors of the Service Personnel Departments signed a Memorandum of Understanding outlining the qualifications expected of military faculty members. Quality is ensured by adhering to those minimum professional standards for military faculty, reviewing the records of officers nominated for faculty positions, and by actively "observing and recruiting" from the student body. Some officers are turned down for assignment as faculty based on this review process.

Recruitment of adjunct faculty to support all CDE programs is done through a variety of methods. Many adjunct faculty members in all programs have been affiliated with the NWC either as former faculty members or as visiting lecturers. Some have been on the faculty of other service colleges and civilian universities. Additionally, some of the recruitment is regionally focused at colleges and universities in areas where Fleet Seminars are held. The retention rate for our adjunct faculty is extremely high. In the Fleet Seminar Program, the average length of time our faculty has been on board is more than a decade.

### **Professional Development, Research, and Scholarship**

Scholarship remains vital to the rigor, relevancy, currency, and quality of the College's academic programs as an important, supporting academic responsibility. The differentiation of the curriculum into distinct intermediate and senior-level courses required a significant investment in time by many of the faculty members during 2004-2008. With those two curricula largely matured, the College began providing significant, additional resources to faculty development starting in Academic Year 2009-2010. As a result, professional development opportunities and associated productivity on the part of the faculty increased. Unfortunately, subsequent to that time a tightening fiscal environment (particularly in 2011 and 2013), followed in the last two years by significant and challenging, externally-mandated policies regarding conference attendance have hindered professional development. The executive leadership of the College, in partnership with the leadership of other Department of the Navy academic institutions and the Director of the Navy Staff, is working to gain relief from those policies to ensure that the College's faculty may remain fully engaged and visible in their fields of interest. Fortunately, the Naval War College Foundation has provided additional funding to support faculty development when funding was not available from the federal government. Because military faculty only serve for a relatively short period, normally 2-3 years, less emphasis on scholarly production is placed on them although many are active researchers.

### **Workloads and Measures of Effectiveness**

Faculty workloads increased with the fielding of the differentiated courses. For each of the two core resident programs, the academic faculty collectively develops and delivers, by department, an integrated curriculum. Of note, the Naval War College is the only service professional military education institution that utilizes one faculty to execute both the

intermediate-level and senior-level courses. While a source of institutional pride, the effort required to do so is significant. Teaching two distinct courses has also elongated the adaptation period for new faculty, civilian and military.

Despite these aforementioned challenges, the College continues to support professional development. The College has developed a systematic method of reviewing and approving individual faculty member's proposed developmental plans. The tension between workload and development continues to be challenging but with the new, bifurcated curricula in place for more than seven years, the workload remains high but generally has become settled. The impact of course differentiation has not yet received any systematic study – this should be a priority for the College and should include balancing the teaching of the two graduate degree programs with the need for faculty development. To their credit as dedicated, well-qualified professionals, the faculty's effectiveness in executing their expanded tasks is high and their acceptance of the responsibility for ensuring that the content and methods of instruction to execute them meets or exceeds generally accepted academic and professional standards and expectations is noteworthy. Likewise, faculty members of COSL and CNWS, and some members of the academic departments continue to be very busy providing direct warfighting support to Navy operational commanders and Combatant Commanders.

The rigorous internal faculty assessment process at the College continues. Over the last decade the College, under successive Provosts, completed a significant effort to standardize the key performance elements for faculty and to ensure that these are accurately and consistently reflected in job announcements, in the stated terms and conditions outlined within the Faculty Handbook, as the key components of the memorandum of understanding (in essence the formal contract), and as the performance goals that are used to assess individual annual performance. These include: teaching/quality of instruction, proficiency in other primary assigned duty/duties, curriculum development, scholarly activity, and service to the college.

In the three core teaching departments, faculty members share offices. In the S&P and JMO departments professors are grouped in teaching teams, normally with the more experienced teachers paired with the lesser experienced. These arrangements allow for intensive mentoring and mutual examination of teaching strengths and weaknesses. Departmental Chairs are responsible for assessing and maintaining the teaching effectiveness of their faculty. They use a variety of methods for monitoring and assessing their faculty including entrusting senior, more experienced members of teaching teams to assess and mentor less experienced peers.

NWC maintains sufficient CDE faculty staffing for the various distance education programs. The ongoing challenge is to define the capacity of the present faculty against the requirements of the changing environment; provide for the shortfalls through contractors until the steady-state requirement is determined; and then to decide whether additional full-time faculty or continued contracting is the best solution. In any case, any further program growth will require additional faculty which will be difficult in the current fiscal environment. The student population is regulated through a deliberate admission process to preclude over tasking of available teaching and material resources. Annually, resource constraints are clearly defined before establishing student population limits through the admissions process.

## Appraisal

### Faculty Profile

The academic faculty remains well qualified to develop and teach the intermediate-level and senior-level resident programs. The College's military faculty members are proven professionals with reputations within their respective areas of war fighting expertise; most are combat veterans. For Academic Year 2013-2014, the military faculty Service mix for the core academic department faculty was forty-seven percent.

For civilian faculty, the core academic departments seek an appropriate mix of expertise as well. Thirty-one of the seventy-two civilian professors are retired military officers. All have significant and diverse military backgrounds and some have attained terminal degrees. All civilian faculty members have a minimum of a M.A./M.S. and fifty-three hold a Ph.D., Ed.D., J.D., or are Ph.D. candidates. Likewise, as the paragraph below indicates, the faculty for the College of Distance Education continues to meet the traditional, high standards of the College.

The full-time and adjunct faculty members of CDE come from diverse backgrounds. All faculty hold, as a minimum, a masters degree; twenty-two of the forty-four full-time faculty hold terminal degrees or are Ph.D. candidates. Thirty-six of the ninety-three adjunct faculty hold terminal degrees. Military experience runs the entire gamut. Many of the retired military adjunct faculty members have taught in the resident programs at the NWC or have been faculty members at other accredited Professional Military Education Colleges. Many civilian adjunct faculty members are currently on the faculty of colleges and universities across the country.

The faculty remains sufficient in number as well as in qualifications to fulfill the tasks set for it by the mission. In the past, student growth in the resident and non-resident programs has had concomitant faculty growth. At present, however, the budgetary outlook argues against continued faculty growth. At current levels of staffing, the departments have the numbers of professors necessary to give each student the close individual attention that is the educational hallmark of the College, but this is not without concern for the future. If student enrollment increases, the current close individual attention that students receive may be endangered.

### Recruitment, Advancement, and Terms of Employment

The College has continued to sustain its quality standard for faculty. In fact, the pools of applicants for open positions have been both large and strong. The process of faculty recruitment remains open, orderly, and fair, and accomplished in accordance with the *Faculty Handbook*. The use of systematically advertised national searches for civilian faculty members in leading professional journals, including *The Chronicle of Higher Education*, *the Affirmative Action Register*, *Journal of Blacks in Higher Education*, *American Association of Hispanics in Higher Education*, *Tribal College Journal*, various academic discipline associations, and major metropolitan area newspapers, has been quite successful in generating a large pool of candidates.

Relatively attractive salaries and an unusually collegial atmosphere have allowed the College to satisfy its faculty requirements well within the high standards expected within the



institution. The departments regularly have had a number of highly qualified applicants from which to choose, especially at the levels of assistant and associate professor. NWC continues to gradually improve the diversity of the faculty, but plans to accelerate these efforts. To that end, Goal 7 of the *Strategic Plan 2014-2018* strives to achieve a systematic College-wide approach to fostering diversity across the NWC community. In their hiring efforts, some departments, however, have had greater difficulty in hiring more senior faculty. Additionally, recent salary freezes, furloughs, and the government shut-down did dissuade some potential candidates from accepting positions at the College. Future uncertainty in the stability of federal employment remains a concern.

Resident civilian faculty turnover has steadied over the last five years. Retirements have accounted for most of this turnover and are expected to continue over the next five years. Emerging requirements for expertise in different disciplines, such as cyber technology and warfare, regional expertise, cultural anthropology, and irregular warfare, have altered the faculty discipline mix. The practice of hiring exceptionally proficient military officers as they retire from active duty has certainly worked to moderate the effects of some of this turbulence. Additionally, the practice of hiring proven performers from the Fleet Seminar Program's adjunct faculty as full-time, on-campus faculty has worked to dampen any ill effects from faculty turnover. More importantly, the faculty has proven to be quite adept at absorbing and acculturating new faculty members. The College's positive data regarding the faculty's effectiveness attests to the continuity of standards of academic excellence.

Recruitment of adjunct faculty to support the CDE programs is accomplished through various means. Many are recruited from the ranks of former NWC faculty; others are members or former members of other PME institutions or civilian colleges and universities. All adjunct faculty members are contracted for specific terms. All are under an academic management program where their performance is reviewed. Assessment by the CDE full-time and NWC resident faculty, as well as end-of-course critiques, are used to determine their suitability for continued employment.

### **Professional Development, Research, and Scholarship**

Faculty development at NWC promotes innovation, collaboration, collegiality, and the art of teaching. Overall, the Faculty Development Program is designed to enhance both the personal and professional education and development of seasoned faculty as well as bring new faculty members up to a common standard of instructor capabilities. The three pronged faculty development approach of orientation, faculty workshops, and individual development programs, coupled with the senior faculty mentoring and evaluation of teaching abilities, provides the students with an unparalleled level of experienced moderators who are aware of the latest changes in the contemporary international security and operational environment. Student feedback regarding instructional quality, faculty accessibility, and educational feedback via the end-of-course critiques, the graduation surveys, and the alumni surveys is very positive with consistently high ratings and remarks.

The contracts for civilian professors explicitly require them to maintain currency, continued maturation, and engagement within their area of expertise. Such individual

responsibility results in individual development programs, which take a wide variety of training, educational opportunities and classes into account. Faculty members pursuing advanced degrees or military educational courses are also considered to be working on an individual development program. Faculty participation in local, national, and international conferences and symposia that contribute to the NWC educational mission and provide continuous broadening of knowledge and expertise related to the NWC curricula is encouraged. In some departments, the faculty member may present a short faculty development session on a particularly key topic. Other academic endeavors such as authoring, publishing or presenting papers, or attending seminars, courses or conferences are sometimes followed up by a trip report sent to the entire faculty to inform them of the latest trends.

Departmental Chairs are responsible for orientation of new faculty. Each of the core teaching departments has a program for new faculty to familiarize them with the curricula as well as the standards for teaching, involvement, and feedback practiced at the Naval War College. Orientation programs focus on teaching techniques and course mastery. Additionally, newer faculty receive mentoring from more experienced faculty outside of the teaching teams and are provided the opportunity to take part in some of the College's short courses typically taught to reserve officers.

Many of the new faculty hires for the CDE programs have some familiarity with the curriculum and educational objectives and outcomes. Annually, NWC brings these faculty members to Newport in August for the three-day CDE Faculty Workshop. During the workshop they associate with, and discuss issues with, both NWC resident and CDE Faculty, as well as with their veteran adjunct colleagues. Their knowledge of the curriculum is updated, and they receive briefs on the individual course sessions by the faculty members responsible for their curriculum development, as well as presentations and discussions on future developments for the course in the longer term. The third day of the CDE Faculty Workshop coincides with the College's annual Faculty Cloister. In the spirit of "one school, one faculty," this allows for all faculty members, full-time and adjunct, to benefit from the information presented during that event. First-year adjunct faculty members remain for additional one-on-one discussions on lesson specifics and instructional techniques.

An additional aspect of faculty development is the CDE practice of inviting as many as possible of its adjunct faculty, depending on funding available, to the mainstream NWC faculty enrichment events, such as conferences, intersessional assemblies and individual lectures and panels. In some instances, adjunct faculty members are simply brought to Newport when available to work on special projects and curriculum development alongside their Newport colleagues. This arrangement does a lot to instill corporate identity.

Each academic department builds its teaching teams so that new faculty members are placed with some of the most seasoned team members to facilitate mentoring for the new faculty members and to introduce the College's team-teaching model. For two departments (JMO and S&P), two-person teaching teams are assigned per seminar, per trimester; and for one department (NSA), a three-person teaching team is assigned per seminar, per trimester. These teaching teams are crucial to this educational enterprise. In S&P and NSA, the teaching teams are comprised so as to represent both the civilian and military perspectives. Experienced faculty

members provide advice and guidance throughout the academic year; in fact it becomes a fruitful, two-way exchange. In NSA, new instructors are generally assigned only one seminar for their first trimester to allow them an opportunity to view other seminar instructor techniques.

Throughout the teaching year, each department conducts mandatory faculty workshops or case review sessions to exchange ideas on teaching each case or lesson in order to prepare the faculty. The objectives of the workshop are to aid instructors in mastering each of the seminar session curriculum elements, as well as for the group to share effective teaching strategies and the cumulative aspects of the course. The workshop process provides the new instructor with an opportunity to gain a better feel for how best to teach the material, based on his or her familiarity with the material and personality strengths. The workshop program is also very helpful in providing greater standardization of curriculum execution throughout all the seminars. The program promotes innovation, collaboration, collegiality, and the art of teaching.

For all three departments, faculty members attend, and provide feedback on, each other's lectures. Additionally, new lectures will generally be vetted with colleagues prior to presentation to the students. Such collaboration provides an opportunity for the lecturer to refine his points, and for the remaining faculty to develop sufficient mastery to engage further on the topic in seminar.

The rotation of teaching teams keeps the permanent faculty fresh in their approach to the course. The faculty often finds that having a new co-moderator(s) requires and enables them to re-think some of the devices and refine their teaching methods. The presence of a different co-moderator(s), in effect, starts each year anew. This, in part, accounts for our high level of student satisfaction with the seminar methodology.

NWC maintains a program of on-campus faculty visits and specialist speaker support to Fleet Seminar sites around the country. The purpose of these site visits is to continue to monitor and enrich the academic quality of the instruction and to ensure compliance with College standards and accreditation requirements. The Fleet Seminar professor is de-briefed by the visiting faculty member and a formal report is submitted into the official record for each site.

NWC pursues a two-pronged approach to professional development. NWC hosts a number of conferences, workshops, and visits by distinguished professionals to provide opportunities for on-site development of the NWC faculty. The core teaching departments routinely conduct faculty seminars with distinguished guest lecturers, some of whom also address the student body. The S&P Department hosts the biannual Teaching Grand Strategy Workshop to interact with educational and research institutions that share our interests, including Yale University, the Fletcher School of Law and Diplomacy, Boston University and senior service colleges, on various topics (including teaching strategy after 9/11, and the role of irregular warfare and armed groups in modern conflicts). The NSA Department has hosted a number of senior defense and state officials including a former Deputy Secretary of Defense, a former Vice Chairman of the Joint Chiefs of Staff, a former Undersecretary of Defense for Personnel and Readiness, a former Undersecretary of Defense (Comptroller), and a former Special Advisor for the Persian Gulf and Southwest Asia to the Secretary of State. NSA faculty are deeply entrenched with several other institutions to include Harvard University, Harvard

University John F Kennedy School of Government's Belfer Center for Science and International Affairs, Brown University, Boston University and many defense colleges around the world.

Additionally, guest lecturers for the Elective Program or the robust Lecture of Opportunity (LOO) Program sometimes devote time specifically to faculty discussions on topics relevant to the curricula and national security affairs. NWC's Regional Study Groups provide a forum for deepening faculty expertise related to issues of regional security and expertise. The Elective Program's Colloquium, provides another venue for selected faculty members to sustain their scholarly efforts and development.

CDE is co-located with the resident faculty in Newport, thus facilitating the attendance of CDE faculty at these departmental workshops, NWC conferences, and all the resident faculty training sessions and workshops designed to improve expertise and teaching effectiveness. Through this practice the Newport CDE faculty is kept as current as the resident faculty. In addition, members of the CDE faculty teach in the resident intermediate-level program on a rotating basis. This practice, as well as keeping the individual faculty member current with the course curriculum and its educational techniques, results in the latest information being disseminated to the remainder of the CDE faculty via discussion and training afterwards. The aim is to achieve "one faculty – one course," whether delivered in residence or at a distance.

The second prong of the College's approach to development is to provide opportunity and resources for individual professors to pursue scholarly activities. In spite of the difficult fiscal environment and strict travel limitations, the College, with the assistance of the Naval War College Foundation, has made a substantial effort to provide financial resources, through its annual budgeting process, for professional development, research, and scholarly publication. With approximately \$500,000 earmarked specifically for faculty development in the last two fiscal years, a substantial number of faculty members have benefited from grants for travel to participate in professional conferences or to conduct research. Additionally, some faculty members involved in the College's international outreach have received funded travel which also provides opportunity for research and collaboration abroad.

The College has in place, as codified in the *Faculty Handbook 2013*, a number of professional development options including one equivalent to the traditional sabbatical. Utilization of this option has varied over the last few years but remains in place.

NWC faculty members are fully engaged in scholarly pursuits which result in current and relevant curricula, which are regularly praised for both breadth and quality. Faculty productivity, in the form of scholarly works, remains high and among the best of the nation's professional military education colleges. Over the last five years, twenty-six faculty published books from distinguished university and commercial presses. While faculty engagement and outreach has fluctuated over the last five years, largely due to fiscal and policy constraints, faculty remain committed to advancing knowledge in their chosen discipline.

### **Workloads and Measures of Effectiveness**

The faculty is thorough and rigorous in assessing the performance of their students against the College's well-defined institutional standards. This is noteworthy because faculty

workloads remain fairly high. During a normal trimester each department will have the preponderance of its faculty members teaching in the classroom, with eighteen to twenty-three seminars of approximately 12-15 students each. It is the difference in the intermediate and senior class sizes that provide the departmental chairs some flexibility in managing faculty workloads and creating opportunities for continued professional development and scholarly endeavors. The College's annual evaluation system, with its inherent annual goal setting practice, permits planning for such activities and the professional development funding practice in place provides the necessary resourcing. Opportunities for service to the College have grown with the expansion of the mission and tasks. Additionally, NWC leadership has made a concerted effort to include the advice of faculty through a number of standing and ad hoc committees to address issues, challenges, and recommendations. Through these committees, the faculty has engaged in reviews of: the comprehensiveness of the academic program; NWC academic policies (e.g. electives, credit hours, and non-attribution); policies affecting faculty promotions, tenure, and a faculty senate; and varied NWC practices ranging from international engagement to strategic communication.

As to teaching effectiveness, the departmental end-of-course critique includes a number of faculty teaching assessment variables. These variables include: overall instructor effectiveness, instructor oral and written feedback, instructor ability to effectively present material, and instructor's ability to guide seminar discussions. Shortly after the completion of a trimester, the department leadership has precise data on each individual faculty member's teaching performance as evaluated by his students. This data is made available to each faculty member and, in some cases, is used to help develop an individual improvement strategy. The data also serves as immediate recognition to those instructors who have excelled. It is instructive to note that students assess the core course faculty members most favorably in a wide range of areas including overall effectiveness, instructor feedback, and instructor ability to guide a seminar. Elective instructors were evaluated equally positively, by the students.

Data collected from graduating students and alumni also show very high figures, almost across the board. The strength of this effective assessment system lies in the fact that the deviations in the data appear to be very consistent from year to year. Qualitative measures are also used to assess curriculum and faculty performance. Every narrative comment provided by students on the end-of-course questionnaire is captured and shared with course directors and the individual faculty member. Each department has a parallel peer assessment process where chairs and faculty members are regularly appraised of these assessments. These integrated practices and processes improve the faculty and the College's ability to achieve educational mission success.

As a federal employee, each faculty member is individually evaluated on an annual basis. To align these evaluations with the terms of employment outlined in individual MOUs and as defined in the Faculty Handbook, the academic departments adopted a common performance appraisal form three years ago. For teaching faculty, NWC uses four (or five) pillars (known as "critical elements") as a measurement framework: teaching and core curriculum execution; curriculum development; professional development; and contribution (service to the college and department); and, for those with assigned administrative duties, leadership and management.

The evaluation year roughly parallels the academic year, commencing on 1 July and ending on 30 June of the following year. At the beginning of each cycle, department chairs/directors meet with faculty to review the critical elements and to discuss goals and expectations for the coming year. At mid-year, a progress review takes place and, if warranted, corrective measures or room for improvement are discussed. At year's end, a formal evaluation is written documenting performance for the past year. Such evaluations serve as a basis for future decisions regarding such things as annual performance awards, contractual renewal, advancements in academic rank, and promotion to positions of greater responsibility.

Faculty workloads within CDE are likewise manageable. The in-resident faculty at Newport performs well their primary responsibility of adapting the College of Naval Command and Staff core curricula to the various non-resident formats. Development of the syllabi and conversion of course material to the non-resident learning methodologies follows a mature, deliberate process. Interaction and feedback with the respective core academic departments is regular and ongoing. Similarly, communication with the full-time CDE professors outside of Newport, and the adjunct professors, remains a major responsibility performed with diligence. Additionally, Newport CDE faculty members regularly teach in the non-resident programs and thoroughly assess adjunct faculty, the non-resident programs, and the non-resident students. Student counseling and mentoring is an integral part of their teaching responsibilities, but it is also a major responsibility for the specific program managers of each non-resident program. Feedback continues to indicate these tasks are being done very well. The unique job of the CDE faculty is that of recruiting the student body and actively participating in the admissions process. Both are done sufficiently well to ensure the non-resident programs all perform very close to their programmed maximums in terms of student population and the standards and policies for admission are uniformly executed. While the CDE full-time faculty is thoroughly tasked and time for them is precious, the overall workload remains manageable with some opportunity for faculty development and scholarship.

Faculty workloads for the CDE part-time faculty members remain manageable and fully support the requirements for each of the non-resident programs. The long standing Fleet Seminar Program has refined, over many years, the process to ensure sufficient opportunity is made to cover faculty development, teaching, and student assessment and counseling responsibilities. Workloads for the other programs have matured and remain fully manageable with the current level of staffing.

CDE adjunct faculty are continually updated as to changes in the curriculum, are provided additional educational materials, and are exposed to new or updated technological capabilities available to support the various distance learning methods. All adjunct faculty members are encouraged to make suggestions for improvements to courses, and have permission to be creative within their individual courses. Although they are not responsible for curriculum development, many adjuncts have access to written material, briefings, and conferences from which they provide material to the full-time faculty. Many times this information is used to update and enhance the resident and non-resident curricula.

The College faculty enjoys a significant degree of departmental cohesiveness. Members of the teaching departments usually become quite committed to the collective enterprise of

curricular development and teaching. The curriculum is constantly in some degree of revision because every faculty member is personally invested, seeking out the latest scholarship and emerging professional developments available, in order to enhance the educational experience of the students. Curricula development typically begins with the informal faculty dialogue that occurs after each session, where instructors discuss techniques that worked well, or did not work as well as intended. This energizing and productive atmosphere, which requires maintenance, is critical to the College's continued success.

Another noteworthy quality of the faculty is the ability of its experienced members to quickly and fully develop new faculty members. While departments have several approaches to this challenge, it is the collegiality of the faculty members and, where relevant, the teaching teams, which are crucial to this educational enterprise. The teaming of scholars and officers has long been a NWC hallmark that has reaped innumerable benefits and is a pillar in our method of instruction in the resident program. Departmental mentor and faculty development programs designed to support the new faculty members throughout their first trimester, and beyond, have been quite successful.

The teaching departments emphasize faculty awareness of emerging issues that will affect the curricula. Faculty members are actively engaged with the national security community and military leaders around the world, as well as their peers in their respective academic or military fields. The Naval War College draws over twenty-five nationally prominent, guest lecturers each year, ranging from military Combatant Commanders to prominent national security executives and politicians. This provides faculty and students a unique opportunity to remain at the forefront of national security issues. Additionally, the College's lecture of opportunity and elective programs bring nearly two hundred more professionals and academicians to the campus for exchange of views and ideas. Dozens more come to attend specific conferences sponsored by the College. Together this activity provides substantial opportunity for professional networking and professional development.

Civilian faculty are hired for their expertise and expected to maintain that experience and subject matter mastery, as well as engage with academic and practitioner peers in their areas of expertise. Faculty publish numerous articles and books in that regard and are regularly called upon for their input not only into valuable academic discourse, but as advisors to decision-makers as well. That productivity clearly signals the significance the College and the departments place in scholarly work. Faculty members also offer elective courses on topics of their special expertise. Their commitment to scholarly work and output is visible and palatable.

Retaining quality, experience, and improving the mix of faculty are essential to accomplishing the College's education mission. Time is a challenge because our schedule is unavoidably inflexible during trimesters when departments are teaching full-time. It is vital to the College (and a condition of faculty employment) that the faculty maintain their scholarly engagement and visibility. The College has endeavored to support faculty in their scholarly engagement to the best of its ability.

## **Projection**

## **Faculty Profile**

The planned growth in the resident and non-resident student bodies and the associated growth in academic faculty have peaked and, in fact, some loss of faculty and staff positions has occurred due to fiscal tightening. In these austere financial times, there is very little possibility for significant further growth in the accredited programs over the next five years. While the educational outcomes developed to guide faculty's design of the revised courses remain viable according to the feedback provided by graduates and senior military and national security leaders, change is coming. At both the Department of Defense and Department of the Navy levels, senior leaders are working to refine and develop new desired educational outcomes which will drive alterations to the curricula.

Accordingly, the next five years will provide an opportunity for the faculty to respond to these altered tasks and refine curricula as needed. The College has periodically experienced such change. Given the proportion of experienced faculty currently at the College, this will be challenging but manageable. This seasoned faculty should continue to be able to equitably distribute curricular development workloads and better plan for distribution of teaching responsibilities, while sustaining a very low, 5-to-1 student-to-faculty ratio for the resident programs. The same applies to the non-resident programs and faculty, full and part-time. The College's academic leadership expects this to result in a reasonable workload and consistent opportunity for scholarly activity. However, this issue must be systematically monitored.

Enrollment figures for the Fleet Seminar Program, the educational basis for application to the non-resident Graduate Degree Program, have been relatively steady for the past ten years, ranging from just above, to just below 1,000. There was a planned student reduction for this program in 2010-2011 which did occur, but CDE has been able to use reimbursable accounts to maintain student loads at previous levels. Other non-degree, non-resident intermediate-level programs have also stabilized. Currently, the number of contract graders and full time faculty is sufficient to support this level of effort.

The non-resident population associated with the non-degree, distance learning programs delivered via Navy Knowledge Online has more than quadrupled in the last five years to more than one hundred and thirty-five thousand students. More growth is expected as the Navy communities embed formal professional military educational requirements for promotion and career progress of enlisted Sailors. However, the surge in faculty in the College of Distance Education has already established the necessary faculty base to accomplish the workload while providing ample opportunity for continued professional development and scholarly endeavors.

The College of Operational and Strategic Leadership, conducting non-degree programs, is also programmed to increase its student throughput with the addition of a new thirteen-week Maritime Operational Planner Course (MOPC) in response to a Navy demand. Funding for additional faculty is planned but fiscal concerns have resulted in artificial caps in manpower numbers which hinder hiring ability. This conflict is being addressed by College leadership. Additionally, the President of the NWC has been assigned responsibility of curriculum oversight for leadership and ethics across the Navy. This new mission task resulted in the establishment of



the Naval Leadership and Ethics Center (NLEC) in May 2014. As a result, an associated growth in faculty by ten professors for these non-degree programs is currently planned.

For the College's leadership, the next five years provides an opportunity to examine the distribution of faculty across the colleges and departments as well as to ensure the military-civilian mix remains completely appropriate to the mission, functions and tasks. Faculty workload and opportunity for professional development will be critical elements of this effort.

### **Recruitment, Advancement, and Terms of Employment**

This period of sustained growth allowed the College to hire a significant number of younger assistant and associate professors, somewhat alleviating the previous challenge of an aging faculty. The anticipated retirement turnover will now be more manageable.

The revised courses with their additional emphasis on areas such as irregular warfare, regional and cultural knowledge, military support to preventing war and the statesmanship involved in building and sustaining international partnerships, and the diplomatic, economic and information instruments of power has broadened the academic disciplines pertinent to the multidisciplinary, academic programs. This also has diluted our previous challenge of recruiting from a smaller pool of national security specialists. It has, however, also created a demand for expertise from several disciplines in high demand, such as international economists and Middle Eastern expertise. Recent recruiting from a larger pool has been very successful in terms of quality and there is no reason to believe this trend will not continue. The widening of the aperture of academic disciplines also provides opportunity to better achieve the strategic goal of fostering diversity. Recruitment results for this academic year were promising and the emphasis will continue.

Future retention of civilian faculty members continues to be less of a challenge than recruitment. Faculty cohesion remains relatively high within departments and has improved across departmental lines. Expectations, opportunities, and resources for cross-College activities such as the regional study groups have increased contact at the working faculty level. The College's increased sponsorship of academic conferences designed principally for faculty members on a wide variety of topics have brought academic and research faculty members together on mutually shared topics of interest, fostering intra-college coordination and study. Resourcing for individual and group trips for conferences and academic outreach to sister professional military education schools and colleges abroad have increased cross-departmental talk and coordination. Having noted this, the recent furloughs, the government shutdown, and ever increasing restrictions placed on federal institutions for hosting or attending conferences is a real problem now and will be for the future if current restrictions are not altered.

Practices regarding the faculty have been continually refined. A major eighteen-month, College-wide, effort to review and update the College's policies and procedures resulted in the publication of the revised *Faculty Handbook* in October 2013. The College's policies and practices are now more current, transparent, and accessible. The update and review process was faculty led, and incorporated significant input from the entire enterprise. As a result, much of the perceived inequity across colleges and departments has dissipated.

NWC has sustained a pool of qualified and experienced faculty to support all its non-resident programs. Although some adjunct faculty have been with the NWC for a number of years, NWC is mindful that to maintain a vibrant program it is necessary to attract quality personnel with professional currency. Because all adjunct faculty members are contracted to support the various programs, there is no tenure and each adjunct is reviewed annually to ensure that he or she is suitable to continue.

### **Professional Development, Research, and Scholarship**

The College's steadfast belief that its people are its greatest strength bodes well for continued improvement in this area. Faculty development remains a vital consideration in the budgeting process and resource allocation decisions. We have developed a fair and equitable process for faculty members to plan and apply for individual developmental opportunities. Over the last ten years, the College's efforts to regularize faculty processes have had a beneficial result. Furthermore, the most recent *Strategic Plan 2014-2018* has again identified the College's people, faculty and staff, as its central strength and Goal 9 focuses on continuing to foster and resource their development. Recent faculty searches have in some departments, however, shown that the competitive edge, which the College once had, has changed recruitment and potentially retention patterns. For example, it was more common a decade ago to recruit more senior (full and associate professors), while it is now nearly impossible to recruit at the full professor level and much more competitive at the associate and assistant professor level.

The College's integration of scholarship and professional activity as a key element of the annual faculty assessment process has formally conveyed the importance of this element to a faculty already attuned to the contractual requirement and anxious for the opportunity. The College's provision of dedicated resources for professional development, its sponsorship and resourcing of regional study groups, faculty-centered on-campus conferences, and increased educational outreach to professional military education schools and colleges around the world have provided added impetus. With a more balanced workload, the faculty has clearly responded positively in terms of engagement, networking, and productivity. In these more austere times, however, it will remain vital to sustain the resourcing for these activities.

### **Workloads and Measures of Effectiveness**

The College is confident in the improvements made with regard to faculty workload. Adequate resourcing did accompany the planned student growth but, as mentioned earlier, the College faces an uncertain financial future. While faculty and academic leadership are well attuned to these challenges, and vigilant to protect faculty time, resources, and opportunities for professional development, current policies regarding faculty attendance at conferences is problematic. Leadership is working within the Department of the Navy to rectify and/or mitigate these challenges. For faculty, time remains the critical factor. The faculty has settled into the new routine created by course differentiation and it appears the full effects of recent changes remains manageable. Academic standards have been upheld and scholarly activity has been fostered. However, the process for assigning and managing workloads for curriculum development, teaching, and ancillary duties is challenging and requires systematic monitoring.

**Standard 5: Faculty (MA Program)**  
**(Rank, Gender, and Salary, Fall Term)**



Number of Faculty		3 Years Prior		2 Years Prior		1 Year Prior		Current Year*		Next Year Forward (goal)	
		AY 2011-12		AY 2012-13		AY 2013-14		AY 2014-15		AY 2015-16	
		FT	PT	FT	PT	FT	PT	FT	PT	FT	PT
Professor	Male	68		70		71		71		71	
	Female	7		9		7		7		7	
Associate	Male	55		54		50		51		49	
	Female	5		4		5		5		5	
Assistant	Male	0		2		1		2		2	
	Female	0		2		4		6		9	
Military	Male	69		70		69		66		60	
	Female	2		1		4		4		3	
Other	Male	1	70	1	65	1	64	1	67	1	66
	Female	0	3	-	3	-	2	-	2	-	2
Total	Male	193	70	197	65	192	64	191	67	183	66
	Female	14	3	16	3	20	2	22	2	24	2

**Total Faculty**

Professor	75	-	79	-	78	-	78	-	78	-
Associate	60	-	58	-	55	-	56	-	54	-
Assistant	-	-	4	-	5	-	8	-	11	-
Instructor	71	-	71	-	73	-	70	-	63	-
Other	1	73	1	68	1	66	1	69	1	68
Total	207	73	213	68	212	66	213	69	207	68

**Salary for Academic Year**

		FT	PT	FT	PT	FT	PT	FT	PT	FT	PT
Professor	Minimum	107K		108K		113K		115K		118K	
	Mean	131K		132K		133K		135K		139K	
Associate	Minimum	98K		96K		101K		105K		105K	
	Mean	109K		110K		112K		114K		118K	
Assistant	Minimum	81K		81K		85K		81K		83K	
	Mean	101K		101K		100K		101K		104K	
Military	Minimum										
	Mean										
Other	Minimum										
	Mean										

\*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

**Standard 5: Faculty (Other)**  
**(Rank, Gender, and Salary, Fall Term)**

37

		3 Years Prior		2 Years Prior		1 Year Prior		Current Year*		Next Year Forward (goal)	
		AY 2011-12		AY 2012-13		AY 2013-14		AY 2014-15		AY 2015-16	
		FT	PT	FT	PT	FT	PT	FT	PT	FT	PT
<b>Number of Faculty</b>											
Professor	Male	49		52		52		52		52	
	Female	6		6		6		6		6	
Associate	Male	50		56		48		44		44	
	Female	1		1		1		1		1	
Assistant	Male	5		7		7		5		5	
	Female	1		1		1		1		1	
Military	Male	48		59		76		77		77	
	Female	8		8		8		8		8	
Other	Male		32		34		33		32		32
	Female		4		3		3		3		3
Total	Male	152	32	174	34	183	33	178	32	178	32
	Female	16	4	16	3	16	3	16	3	16	3

**Total Faculty**

Professor	55	-	58	-	58	-	58	-	58	-
Associate	51	-	57	-	49	-	45	-	45	-
Assistant	6	-	8	-	8	-	6	-	6	-
Instructor	56	-	67	-	84	-	85	-	85	-
Other	-	36	-	37	-	36	-	35	-	35
Total	168	36	190	37	199	36	194	35	194	35

**Salary for Academic Year**

		FT	PT	FT	PT	FT	PT	FT	PT	FT	PT
Professor	Minimum	107K		108K		113K		115K		118K	
	Mean	131K		132K		133K		135K		139K	
Associate	Minimum	98K		96K		101K		105K		105K	
	Mean	109K		110K		112K		114K		118K	
Assistant	Minimum	81K		81K		85K		81K		83K	
	Mean	101K		101K		100K		101K		104K	
Military	Minimum										
	Mean										
Other	Minimum		2,480		2,480		2,480		2,480		2,480
	Mean		5,800		5,800		5,800		5,800		5,800

\*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

**Standard 5: Faculty (MA Program)**  
**(Highest Degrees and Teaching Assignments, Fall Term)**

	3 Years Prior		2 Years Prior		1 Year Prior		Current Year*		Next Year Forward (goal)	
	AY 2011-12		AY 2012-13		AY 2013-14		AY 2014-15		AY 2015-16	
	FT	PT	FT	PT	FT	PT	FT	PT	FT	PT

**Highest Degree Earned: Doctorate**

Professor	56		59		61		60		60	
Associate	21		18		19		24		17	
Assistant	1		3		3		5		7	
Military	6		8		14		14		14	
Other		39		38		31		31		37
<b>Total</b>	<b>84</b>	<b>39</b>	<b>88</b>	<b>38</b>	<b>97</b>	<b>31</b>	<b>103</b>	<b>31</b>	<b>98</b>	<b>37</b>

**Highest Degree Earned: Master's**

Professor	22		28		18		18		16	
Associate	38		36		35		31		39	
Assistant	1		1		1		-		-	
Military	62		58		59		54		60	
Other		35		30		34		37		37
<b>Total</b>	<b>123</b>	<b>35</b>	<b>123</b>	<b>30</b>	<b>113</b>	<b>34</b>	<b>103</b>	<b>37</b>	<b>115</b>	<b>37</b>

**Highest Degree Earned: Bachelor's**

Professor	0		-		-		-		-	
Associate	0		-		-		-		-	
Assistant	0		-		-		-		-	
Military	1		6		1		1		1	
Other										
<b>Total</b>	<b>1</b>	<b>-</b>	<b>6</b>	<b>-</b>	<b>1</b>	<b>-</b>	<b>1</b>	<b>-</b>	<b>1</b>	<b>-</b>

**Highest Degree Earned: Professional License**

Professor										
Associate										
Assistant										
Military										
Other										
<b>Total</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>

**Fall Teaching Load, in credit hours**

Professor	Maximum									
	Median									
Associate	Maximum									
	Median									
Assistant	Maximum									
	Median									
Military	Maximum									
	Median									
Other	Maximum									
	Median									

Explanation of Teaching Load (if not measured in credit hours):

\*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

**Standard 5: Faculty (Other)**  
**(Highest Degrees and Teaching Assignments, Fall Term)**

	3 Years Prior		2 Years Prior		1 Year Prior		Current Year*		Next Year Forward (goal)	
	AY 2011-12		AY 2012-13		AY 2013-14		AY 2014-15		AY 2015-16	
	FT	PT	FT	PT	FT	PT	FT	PT	FT	PT

**Highest Degree Earned: Doctorate**

Professor	36		39		40		36		36	
Associate	13		10		14		13		13	
Assistant	1		2		3		4		4	
Military	6		5		5		6		6	
Other	0	8	-	8	-	9	-	9	-	9
<b>Total</b>	<b>56</b>	<b>8</b>	<b>56</b>	<b>8</b>	<b>62</b>	<b>9</b>	<b>59</b>	<b>9</b>	<b>59</b>	<b>9</b>

**Highest Degree Earned: Master's**

Professor	23		23		23		18		18	
Associate	32		42		33		37		37	
Assistant	5		4		3		2		2	
Military	21		35		51		47		47	
Other	0	28	-	27	-	27	-	26	-	26
<b>Total</b>	<b>81</b>	<b>28</b>	<b>104</b>	<b>27</b>	<b>110</b>	<b>27</b>	<b>104</b>	<b>26</b>	<b>104</b>	<b>26</b>

**Highest Degree Earned: Bachelor's**

Professor	1		1		1		-		-	
Associate	1		1		1		-		-	
Assistant	0		-		-		-		-	
Military	17		16		19		18		18	
Other	0		-		-		-		-	
<b>Total</b>	<b>19</b>	<b>-</b>	<b>18</b>	<b>-</b>	<b>21</b>	<b>-</b>	<b>18</b>	<b>-</b>	<b>18</b>	<b>-</b>

**Highest Degree Earned: Professional License**

Professor										
Associate										
Assistant										
Military										
Other										
<b>Total</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>

**Fall Teaching Load, in credit hours**

Professor	Maximum									
	Median									
Associate	Maximum									
	Median									
Assistant	Maximum									
	Median									
Military	Maximum									
	Median									
Other	Maximum	4		4		4		4		4
	Median	3		3		3		3		3

**Explanation of Teaching Load (if not measured in credit hours):**

\*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

**Standard 5: Faculty (MA)**  
**(Appointments, Tenure, Departures, and Retirements, Full Academic Year)**

	3 Years Prior		2 Years Prior		1 Year Prior		Current Year*		Next Year Forward (goal)	
	AY 2011-12		AY 2012-13		AY 2013-14		AY 2014-15		AY 2015-16	
	FT	PT	FT	PT	FT	PT	FT	PT	FT	PT
<b># of Faculty Appointed</b>										
Professor	5				2					
Associate	2		1							
Assistant										
Military										
Other										
Total	7	-	1	-	2	-	-	-	-	-
<b># of Faculty in Tenured Positions</b>										
Professor										
Associate										
Assistant										
Military										
Other										
Total	-	-	-	-	-	-	-	-	-	-
<b># of Faculty Departing</b>										
Professor	1		1		1					
Associate	3		1		1					
Assistant			1							
Military	11		11		14		12		12	
Other										
Total	15	-	14	-	16	-	12	-	12	-
<b># of Faculty Retiring</b>										
Professor			1				1			
Associate					1		1			
Assistant										
Military	17		11		8		12		12	
Other										
Total	17	-	12	-	9	-	14	-	12	-

\*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

**Standard 5: Faculty (Other)**  
**(Appointments, Tenure, Departures, and Retirements, Full Academic Year)**

	3 Years Prior		2 Years Prior		1 Year Prior		Current Year*		Next Year Forward (goal)	
	AY 2011-12		AY 2012-13		AY 2013-14		AY 2014-15		AY 2015-16	
	FT	PT	FT	PT	FT	PT	FT	PT	FT	PT
<b># of Faculty Appointed</b>										
Professor	1				1					
Associate	2		2							
Assistant										
Military										
Other										
<b>Total</b>	3	-	2	-	1	-	-	-	-	-
<b># of Faculty in Tenured Positions</b>										
Professor										
Associate										
Assistant										
Instructor										
Other										
<b>Total</b>	-	-	-	-	-	-	-	-	-	-
<b># of Faculty Departing</b>										
Professor	3		1		2					
Associate			2		1					
Assistant			1							
Military	16		26		17		26		38	
Other										
<b>Total</b>	19	-	30	-	20	-	26	-	38	-
<b># of Faculty Retiring</b>										
Professor			1		3		2			
Associate			2							
Assistant										
Military	2		14		11		13		13	
Other										
<b>Total</b>	2	-	17	-	14	-	15	-	13	-

\*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.



**Standard 5: Faculty**  
**(Number of Faculty by Department or Comparable Unit, Fall Term)**

3 Years Prior		2 Years Prior		1 Year Prior		Current Year*		Next Year Forward (goal)	
AY 2011-12		AY 2012-13		AY 2013-14		AY 2014-15		AY 2015-16	
FT	PT	FT	PT	FT	PT	FT	PT	FT	PT

**Number of Faculty by Department (or comparable academic unit)**

	FT	PT	FT	PT	FT	PT	FT	PT	FT	PT
<b>MA Program</b>										
Strategy & Policy	41	-	47	-	42	-	39	-	39	-
National Security Affairs	46	-	45	-	41	-	45	-	45	-
Joint Military Operations	48	-	44	-	36	-	41	-	48	-
MAWS	6		6		6		6		6	
College of Distance Education	7	47	7	44	7	47	7	50	7	49
Electives	59	27	67	24	68	19	68	19	68	19
<b>Certificate Programs</b>										
College of Distance Education	40	36	40	37	47	36	46	35	46	35
College of Opnl & Strat. Ldrship	31		49		54		49		54	
International Programs	8		9		8		8		8	
Center for Naval Warfare Studies	58		60		62		55		55	
Senior Enlisted Academy	9		9		8		9		9	
Naval Leadership & Ethics Ctr					19	3	19	3	19	3
<b>Total</b>	<b>353</b>	<b>110</b>	<b>383</b>	<b>105</b>	<b>398</b>	<b>105</b>	<b>392</b>	<b>107</b>	<b>404</b>	<b>106</b>

\*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

## **Chapter 6 – Students**

### **Description**

#### **Student Body for Senior and Intermediate-level Programs**

##### **Senior Level Course**

The senior-level course is comprised of the College of Naval Warfare (CNW) and the international students of the Naval Command College (NCC). Currently, the senior-level course is composed of 258 students and is roughly on par with the class size for Academic Year 2008-2009. Military officers, including international officers, comprise 89% of the class (34% are U.S. Navy officers) and the federal civilian community comprises 11%. International military officers, who cannot earn a master's degree, comprise 19% of the class. This academic year, those officers represent forty-three different countries from every region of the world. The U.S. military officers have between 15 and 26 years of military service. Over two-thirds have earned the rank of commander or lieutenant colonel; more than half have commanded at the squadron/battalion level. Over one-third have had multiple combat tours in Iraq or Afghanistan. More than 80% already possess an advanced degree; more than half have undergraduate degrees in science, mathematics, engineering, or technology. Most are in their forties, ranging between 37 and 50 years old. About 85% are married; 25%-30% are attending NWC without their families.

##### **Intermediate Level Course**

The resident, intermediate-level course consists of students of the College of Naval Command and Staff (CNC&S) and the international students of the Naval Staff College (NSC). The intermediate-level course is composed of 340 students and is on par with Academic Year 2008-2009. Military officers, including international officers, comprise 95% of the class (45% are US Navy officers) and federal civilians comprise 5% of the class. International military officers, who cannot earn a master's degree, comprise 18% of the class. This academic year those officers represent thirty-nine different countries from every region of the world. The U.S. military officers have between 10 and 15 years of military service; nearly 50% have had multiple combat tours in Iraq or Afghanistan. About 80% have earned the rank of lieutenant commander or major. More than 40% already possess an advanced degree; about one-half have undergraduate degrees in science, mathematics, engineering, or technology. Most are in their thirties, ranging between 31 and 41 years old. More than 85% are married and less than 20% are attending NWC without their families.

The Naval War College offers an array of tailored programs to meet the requirements and circumstances of its non-resident student population. Through the College of Distance Education (CDE), NWC designs and delivers the intermediate-level course in four, distinct programs: the Fleet Seminar Program; the Web-enabled Program; the NWC at Naval Postgraduate School Program; and the CD-ROM Program. Only students in the Fleet Seminar Program are eligible to apply for the Graduate Degree Program and earn the master's degree.

CNO Clark decided, in 2004, to create a Navy Professional Military Education (PME) Continuum and required all Commanders to complete intermediate-level PME with Joint Professional Military Education Phase I (JPME I) before assuming Commander command, or its equivalent, for Restricted Line and Staff Officers. This requirement established intermediate level PME completion as an essential career milestone. The guidance for Navy officer assignments to PME/JPME programs, approved by Admiral Mullen as CNO in August 2006, established formal business rules for attendance and post-graduation assignment for Navy students. Lieutenants, who have not yet been selected for promotion, are assigned only after the Navy Personnel Command reviews the nomination package and approves acceptance by waiver. The business rules for such waivers ensure that officers with demonstrated, exceptional potential do not lose the opportunity for in-residence intermediate-level PME, yet provide the opportunity for accelerated attendance by selected junior officers with demonstrated potential.

#### College of Distance Education

The student body of the College of Distance Education (CDE) is comprised of members of all the military services as well as many federal government agencies in the Graduate Degree Program and the other non-degree granting programs. Last academic year there were 4,627 students; 3,293 were U.S. Navy officers, including 486 Navy Reserve Officers, and 944 were U.S. military officers from the other services. The College of Distance Education also had a significant number of Congressional (50) students and students who were Executive Department Staff (333) members. There were also 7 international students.

The Naval War College offers an array of tailored programs to meet the requirements and circumstances of its non-resident student population. Since Academic Year 2008-2009, the non-resident, intermediate-level student population has grown significantly in three of the four non-resident programs, while the CDROM-based program enrollment has decreased by half; the net overall result being steady-state enrollment. As of the end of last academic year, the Graduate Degree Program had a total of 1,859 graduates and 646 students enrolled. Faculty numbers and resources have kept pace with the enrollments, ensuring continued accurate student assessment and sustained service. The progress reflects the College's efforts to assist the CNO in defining the future Navy in terms of intermediate-level officer education. It also fulfills the statutory requirements for JPME I.

#### **Admissions for Senior and Intermediate-level Programs**

##### Resident Students

For military students, the admissions process is largely conducted by each of the individual Service's personnel commands. The respective Service personnel commands conduct administrative boards to select the highest qualified officers from each year group to attend the different resident professional military education colleges (e.g. Naval War College, Army War College, Army Command and General Staff, etc.). These administrative boards review the officer personnel files and select the top officers for resident schools. These officers are then scheduled for attendance at the appropriate time.

Annually, the Navy Staff and College confer about which nations should be invited to attend the College. The selected nations align with the national and the Navy's strategies for strengthening global partnerships while also continuing long-standing relationships with nations who perennially send officer students. International officers are required to possess sufficient academic credentials and a sufficiency in English. U.S. military attaches at embassies around the globe ensure basic qualifications are met.

Civilian agencies nominate candidates for attendance, normally after convening an administrative board for screening the most qualified personnel. The NWC Admissions Committee reviews the nomination packages, academic records, and writing samples and makes appropriate recommendations to the Associate Provost.

#### Non-resident Students

Students interested in the non-resident programs (non-degree programs) complete an on-line application. Enrollment is open to eligible active and reserve officers in the Sea Services (Navy, Marine Corps, and Coast Guard) in the grade of O-3 and above. Active and reserve officers in other military services (Army and Air Force) must be in the grade of O-4 and above to be eligible. Civilians in the grade of GS-11 and equivalent or above are also eligible and through CNO agreement, selected staff members in the federal Executive, Legislative, and Judiciary branches are also eligible. All applicants must possess a Baccalaureate Degree.

Students applying for the Graduate Degree Program must possess a baccalaureate degree from a regionally accredited institution and have completed one or more of the Fleet Seminar Program courses with no grade lower than a B- and meet the rank requirements outlined above. Students submit an application with two letters of recommendation and their official transcript. The Graduate Degree Program Admissions Board reviews and evaluates each complete application package. The Board makes a recommendations concerning admission to the Dean of Academic Affairs who makes the final determination.

#### **Student Body for the NWC Certificate Programs**

##### Maritime Staff Operator's Course

This course is composed of Navy leaders, officer and enlisted, assigned to the College on temporary duty in route to their next duty station, usually a Maritime Operations Center (MOC). While the College's support services are fully available, the assigned faculty assumes a significant mentor role and works very closely with these small classes. The annual throughput for this five week, non-degree course is currently 400 students. Class size is generally 25-30.

##### Maritime Operational Planning Course

The Maritime Operational Planning Course (MOPC) is three months in duration and available to O-3s to O-5s in route to a maritime headquarters. The course is designed to develop planners capable of performing in high-tempo, fluid maritime operational environments. Once programmed and fully funded, the course is projected to be conducted three times a year. The expected annual throughput for this course is 60-80 students.

### Executive Level Operator's Course

The Executive Level Operator's Course (ELOC) is focused at the senior leadership (O-6) level involving the decision making process and the management of Maritime Headquarters (MHQ) and MOC resources. Normally conducted three times a year, the annual throughput for this one week course is currently 75 students.

### Combined Force Maritime Component Commander and Joint Force Maritime Component Commander Course (CFMCC/JFMCC)

The Navy's CFMCC/JFMCC course is executive-level PME/JPME for U.S. (JFMCC) and international (CFMCC) flag and general officers designed to prepare them for theater-level combat leadership and the broad perspective of operational and strategic levels of war. The College provides two or three sessions for 20-30 flag officers each year with JFMCC courses typically performed in Newport and the CFMCC courses generally performed overseas in their respective areas.

### Senior Enlisted Academy (SEA)

The United States Navy Senior Enlisted Academy is designed to further develop, through education and training, the leadership and decision making capabilities of senior enlisted personnel while serving in command, staff, management and leadership positions in Naval, joint, and multinational environments. The SEA is also designed to provide senior enlisted personnel a solid understanding of military strategy and leadership skills while cultivating leaders capable of maintaining constant focus in the areas of ethics, adaptability, and mission accomplishment in an ever changing environment.

The annual throughput for the six week, in resident, non-degree course is currently 784 students from the U.S. Navy, Marine Corps, Air Force, Coast Guard, and allied/coalition nations. The blended course, which consists of a six-week Blackboard (on-line) and a two-week in resident course of instruction, currently maintains an annual throughput of 210 students from the U.S. Navy.

### Naval Leadership and Ethics Center

Formerly known as the Command Leadership School (CLS), the Naval Leadership and Ethics Center (NLEC) is attended by the prospective Major Commander, Commanding Officer, Executive Officer, Command Master Chief/Chief of the Boat (CMC/COB), Commanding Officer Spouse and CMC/COB Spouse courses. NLEC's mission is to prepare the Leadership Triad (CO, XO & CMC or equivalent) and Command Support Team for their unique roles. The size of the student body is approximately 1,500 students for Academic Year 2014-2015. NLEC is now charged with educating officers and enlisted service members across all warfare communities, staff corps, and sub-specialties in a wide range of leadership and ethical issues. It will expand its educational reach over the next several years to meet that responsibility.

In the spring of 2014, the CNO assigned primary responsibility to NWC for core values and ethical development including oversight of all Officer and Enlisted leadership and ethics curricula for the Navy. The President, NWC serves as principal advisor to the CNO for the Navy

Leader Development Continuum, and recommends changes to Navy policies, programs and processes to improve leader and character development.

### **Retention and Graduation for Senior and Intermediate-level Programs**

Retention and graduation rates for the resident programs continue to remain at almost 100%. As high achieving professionals, the resident students undergo a rigorous selection process prior to arrival for their year of study. Consequently, there are very few, if any, who do not complete the resident master's degree. For the two non-resident programs taught at additional instructional locations via face-to-face seminars, the retention rate remains high.

For the non-resident programs conducted as distance education, retention can be problematic. Retention for the Web-enabled program usually ranges from 70 -75 percent; the CD-ROM-based program usually ranges between 35 to 50 percent. Retention in these programs, for these part-time students, depends largely on what is happening in their normal duties. Operational assignments, increased workload, and competing demands often cause these students to voluntarily dis-enroll, or be dis-enrolled for insufficient progress. Many of those dis-enrolled either enroll again later or subsequently attend the resident program.

### **Student Support Services and Organizations for Senior and Intermediate-level Programs**

Processes and practices for orientation, housing, counseling, health services, social and religious activities, athletics, recreation, and extracurricular activities remain vibrant. Student organization remains substantially the same as it was in 2004. These professional students have formal and informal means to address their concerns throughout the academic year. Additionally, their salaries and government employment benefits continue while they are studying. Newport Naval Base provides the full array of support services to the military officers and their families, in addition to the academic support provided within NWC.

Students are no longer provided a dedicated, individual study carrel. Space limitations forced the College to switch to a significant number of common study carrels used daily on a first-come basis. The total number is less than one per student, but adequate to the normal daily demand throughout the campus. Otherwise, student support continues as previously reported.

### **Graduate Network for Lifelong Learning**

In August of 2009, the College established an Alumni Affairs Division to integrate/coordinate all alumni programs. Since its establishment, the organization has evolved to the Graduate Network for Lifelong Learning for NWC's professional graduates. The Director of the Graduate Network for Lifelong Learning advises the President and Provost on alumni matters and the success of NWC's educational outreach. The Dean of International Programs oversees a long-standing and active alumni program; annually NWC conducts educational symposia overseas, related to maritime security, to reach our international and US graduates. Additionally, access to a number of research databases, previously afforded only to students, is now extended to alumni, along with research guides relevant to alumni careers and lifelong

learning. To cultivate and sustain professional relationships and personal bonds, the International Programs office actively tracks the career progression of the alumni and publishes a yearly *Alumni Newsgram* and newsletters, in addition to a detailed *Alumni Directory*.

## **Appraisal**

### **Student Body for Senior and Intermediate-level Programs**

The respective student bodies continue to be one of the strengths of the College's academic programs. These are professional military officers or federal civilians, most with more than a decade of experience, often in highly stressful, combat conditions. They are mature, proven leaders who have not just succeeded but excelled. They are steeped in professional knowledge, leavened by experience. Their discipline and dedication leads them to exert a complete effort toward their professional studies.

With the CNO requirement for completion of intermediate-level PME with JPME Phase I as a prerequisite for command as a Commander (or its equivalent), the opportunity to complete the intermediate-level course is becoming an essential milestone for all lieutenant commanders. The challenges inherent in this shift have been navigated effectively and NWC is seeing an increasingly experienced and joint-focused student population, screened prior to arrival and assigned properly upon graduation

The substantial investment made in building the non-resident infrastructure and variety of programs demonstrated a commitment by the Navy's senior leadership to PME and JPME. With less opportunity for in-resident education, NWC has implemented a robust non-resident educational program designed to reach Navy officers where they work and live. Together, these corporate-level actions have produced a stronger overall body of Navy students in intermediate-level PME programs. More Navy officers are receiving a high quality, intermediate education than previously. They, in turn, are better prepared for future challenges.

Non-resident students are equally qualified and professionally motivated to obtain the intermediate-level education. Like their peers in-residence, many have been deployed in support of ongoing operations supporting Iraq and Afghanistan. They are more conversant about the joint arena and the challenges of operating closely with multinational partners. Keeping the correct focus of their study and reflection remains a challenge.

### **Admissions for Senior and Intermediate-level Programs**

#### **Resident Students**

Overall, the admissions process works well in getting highly qualified students to the College, as demonstrated by the high retention and graduations rates. The Services select those officers who have the greatest potential for increased service and the NWC education provides them with the tools to succeed in positions of increased responsibility. Data from surveys and research indicate that NWC graduates fare well professionally in terms of choice assignments

and promotions and believe their NWC education contributed to their continued success. Civilian agencies also nominate high achievers as their academic success attest.

Over this last decade, the wars in Iraq and Afghanistan affected the normal patterns of assignment for nearly all of the military services. The competition for talent to support the frontlines has meant that some available class seats went unfilled as operational commitments precluded potential students from attending the College. Each of the military services has had to defer or request waivers for candidates because of a lack of student availability. In general, the quality of the student body has held steady. Reductions of the Navy's force structure for senior officers reduced the number of Navy students in the senior course; however, senior Navy leadership reversed that trend after deliberations by the Navy's Advanced Education Review Board (AERB) in 2013. To this point, other military services have protected their student quotas for the senior and intermediate programs at NWC. The potential for reductions in students looms as force structures diminish in the near term.

#### Non-resident Students

The admissions process for non-resident students also works well. In fact, many of the non-resident students eventually matriculate to one of the resident programs. Retention and graduation rates for the Graduate Degree Program remain fairly high. An area of concern is that in some locations qualified students applying for the Fleet Seminar Program (FSP) may not be admitted because of space limitations. The FSP demand at some additional instructional locations often exceeds the available openings, and candidates are put on hold. In this fiscal environment, further expansion of this program is not feasible.

#### **Retention and Graduation for Senior and Intermediate-level Programs**

The retention and graduation rates are testament to the fact that the admissions process for resident students remains viable. In annual alumni surveys, data indicates graduates are routinely selected for promotion and command at a favorable rate to their peers from other resident programs and above those who were not selected for resident education. Moreover, alumni wholeheartedly endorse NWC and encourage attendance by peers and subordinates. Flag and general officers who come to speak or attend conferences at the College advocate the value of their NWC education. An ongoing challenge is to ensure that our outcomes reflect what is required of our graduates. We continue to receive feedback from alumni, senior Navy leaders, and other stakeholders through the Navy's AERB and the Chairman, Joint Chiefs of Staff Military Education Coordination Committee.

#### **Student Support Services and Organizations for Senior and Intermediate-level Programs**

Student services at the Naval War College for U.S. and international resident students and non-resident students meet standards. Student survey data routinely indicate a high level of satisfaction with NWC student support and a satisfactory level of support from the Newport Naval Base. Orientation and guidance are thorough, and participation in the evaluation and maintenance of these programs is extensive. Facilities for student study have degraded due to space constraints and competing requirements, but suffice for the short term; the temporary



relocation of the library spaces provides a better environment for study. The new Learning Commons was designed to specifically improve support for student study and collaboration. The College and community offer a range of recreational activities, and a wide variety of social, athletic, and cultural activities are available. The welfare of students is a priority, and their problems and concerns are resolved promptly.

Orientation and guidance for the non-resident programs continues to be thorough and on target. Student counseling meets standards with faculty and the NWC program managers are dedicated to a quick resolution of student problems. Student feedback and evaluation are routinely collected and heeded for the non-resident programs.

Various forms of family dislocations affect the College's resident students and it remains an area of focus. With nearly one-third of the student body arriving from assignments or deployments where they have been separated from their families for at least six months, ensuring students and their families have the support and time necessary to readjust is important, especially for those returning from combat theaters. Approximately twenty percent of the resident student body chose to leave their families in the vicinity of their previous duty station and attend the College as a geographic bachelor. However, the majority of these military professionals use their experience and maturity to manage the challenges adequately.

The College has expanded its Health Awareness Program to ensure the required post-deployment screening for physical and mental health assessment is completed for those returning from combat. Additionally, incoming students are instructed on post traumatic stress disorder (PTSD), reminding them of the associated symptoms and warning signs as well as the supporting organizations available aboard Newport Naval Station and the College.

Another area of focus is the quality of the government housing available to students with families. The President, Naval War College has personally been involved in ensuring the standards of these quarters, which are managed by a private company through a leasing agreement with the Navy, continue to improve and students can be assured to receive a good value for their money.

Student concerns for those enrolled in non-resident programs are somewhat different than those of the resident student. Most revolve around assignment changes, reserve call-ups, or civilian job requirements. Program managers, course division heads, and adjunct faculty are aware of these concerns and work with students to mitigate them.

Some study facilities for resident U.S. students have been temporarily sacrificed as part of ongoing renovations, but long term plans include more study areas and individual student lockers. Study cubicles are available on campus for daily use; the number available sufficed for last academic year and is currently meeting this year's demand. Cubicles have been provided for international officers. Computer and information support have improved substantially with the continued increase in available computer labs and printers, an automated helpdesk, and work email account availability from home. Additionally, online library access, Wi-Fi access in designated areas across the campus, discounted software for student-owned computers, iPads for

temporary loan, and more focused technical support for on-campus students are in place. Classroom modernization also means a better academic environment.

NWC is constantly looking at areas to more fully integrate non-resident students into the on-campus learning environment. Over the past five years, all core courses have made as many resident lectures as possible available to all non-resident students. Events, such as the Current Strategy Forum, the Ethics Conference and other intersessional forums that take place in Newport, are captured on video and then provided to non-resident students and adjunct faculty worldwide.

### **Graduate Network for Lifelong Learning**

NWC is committed to continuing a relationship with alumni throughout their careers. Several communications vehicles support this mission, such as the *Naval War College Review*, the College's website, blogs, Facebook and Twitter. The College runs symposia at overseas locations for its international and U.S. alumni stationed in the respective region.

The College's Graduate Network for Lifelong Learning division continues to build a program that serves the prestigious community of Naval War College graduates. International Programs has had a robust alumni contact program for many years. Non-resident alumni will be included in the database maintained by this office. An alumni engagement system will be implemented in 2015, to provide the alumni community with an online environment for staying connected with the College, for reporting professional news, for maintaining directory and profile information, and for building their own communities of interest. The system's data management component will also facilitate two way communications with the College.

## **Projection**

### **Student Body**

The Navy established business rules in 2004 to ensure the Navy invested well in its selection of resident students. Balancing the priority demands of a fleet operating at a high tempo, and meeting the demands for human resources and talent has been challenging. However, the business rules, the Navy's annual school quota plan, and resources remain in place to ensure continued excellence in the quality of all officers assigned to the resident programs. Two recent Navy documents, *the Navy Education Strategy 2025* and *the Navy Leader Development Strategy*, have reinforced the importance of education to today's naval profession. Some uncertainty remains in the financial outlook for overall defense funding, which could affect NWC's student throughput. However, the Navy and the other military services will continue to select their highest achievers for in-residence educational opportunities. Only continued expansion of international students is anticipated, raising throughput to a goal of about 150 annually. If the U.S student throughput remains steady, then this growth will require additional resources.

The non-resident NWC student body has reached its programmed steady state which suffices to serve the overall Navy officer population. Likewise, the Graduate Degree Program

has matured and may experience only moderate growth for which there is sufficient capacity. Significant Navy officer force structure reductions would result in a reexamination of the required student throughput.

## **Admissions for Senior and Intermediate-level Programs**

### **Resident Students**

Navy officers who wish to remain competitive in their fields must complete the intermediate-level CNC&S. More Navy officers now take the initiative to find out more information about the in-residence opportunity and, if not selected, apply for a non-resident program. Other military services continue to send their best officers based on the results of a competitive board. When these same officers graduate and move to operational assignments they continue to mentor subordinates about the value of the professional academic programs offered by NWC. Our graduates remain the best ambassadors for the resident programs.

### **Non-resident Students**

More Navy officers are receiving a high quality intermediate-level education than in the past and more are choosing one of NWC's non-resident programs than similar programs offered by other military services. Like the resident program, non-resident graduates continue to be the best ambassadors for the NWC education. To a great extent, the robust mix of other military service students is a testament to the value placed on this education by our graduates who mentor their subordinates.

## **Student Support and Services**

As anticipated, space limitations created by necessary renovations to the College's older buildings combined with growth in resident enrollment has required some interim measures. Conversion of some parking spaces to training/education space is planned with ongoing pre-construction design already underway. Additionally, several alternatives are currently under study to achieve the Navy's longer term vision for an expanded campus as expressed in Naval Station Newport *Vision 2035 Master Plan*. The action by the Chief of Naval Operations to identify the College in a special category for logistical support provides a clear avenue to fund short-term and mid-range projects to assist in rectifying the deficit in space, and ensures top-level support to the College's current campus and spaces. Additionally, the decision provides an ongoing forum for reviewing and rectifying the College's challenge with inadequate space.

NWC is committed to providing its students with premier support services and cultivating an atmosphere conducive to a first-rate education. As we endeavor to maintain this standard of excellence, there are many complex situations requiring navigation and leadership. As an institution priding itself in strategic thinking, the NWC leadership looks forward to these challenges as opportunities to effect long term change for the good of the student body, the community and the United States citizens.

## Standard 6: Students (Admissions, Fall Term)

?

Credit Seeking Students Only - Including Continuing Education

		3 Years Prior AY 2011-12	2 Years Prior AY 2012-13	1 Year Prior AY 2013-14	Current Year* AY 2014-15	Next Year Forward (goal) AY 2015-15
<b>Freshmen - Undergraduate</b>	?					
Completed Applications	?					
Applications Accepted	?					
Applicants Enrolled	?					
% Accepted of Applied		-	-	-	-	-
% Enrolled of Accepted		-	-	-	-	-
<b>Percent Change Year over Year</b>						
Completed Applications		-	-	-	-	-
Applications Accepted		-	-	-	-	-
Applicants Enrolled		-	-	-	-	-
<b>Average of Statistical Indicator of Aptitude of Enrollees: (Define Below)</b>	?					
<b>Transfers - Undergraduate</b>	?					
Completed Applications	?					
Applications Accepted	?					
Applications Enrolled	?					
% Accepted of Applied		-	-	-	-	-
% Enrolled of Accepted		-	-	-	-	-
<b>Master's Degree</b>	?					
Completed Applications	?	677	657	613	680	680
Applications Accepted	?	676	657	613	679	680
Applications Enrolled	?	676	657	613	679	680
% Accepted of Applied		99.9%	100.0%	100.0%	99.9%	100.0%
% Enrolled of Accepted		100.0%	100.0%	100.0%	100.0%	100.0%
<b>First Professional Degree - All Programs</b>	?					
Completed Applications	?					
Applications Accepted	?					
Applications Enrolled	?					
% Accepted of Applied		-	-	-	-	-
% Enrolled of Accepted		-	-	-	-	-
<b>Doctoral Degree</b>	?					
Completed Applications	?					
Applications Accepted	?					
Applications Enrolled	?					
% Accepted of Applied		-	-	-	-	-
% Enrolled of Accepted		-	-	-	-	-

\*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

**Standard 6: Students**  
**(Enrollment, Fall Census Date)**

2

Credit-Seeking Students Only - Including Continuing Education

		3 Years Prior	2 Years Prior	1 Year Prior	Current Year*	Next Year Forward (goal)
		AY 2011-12	AY 2012-13	AY 2013-14	AY 2014-15	AY 2015-16
<b>UNDERGRADUATE</b>						
First Year	Full-Time Headcount					
	Part-Time Headcount					
	Total Headcount	-	-	-	-	-
	Total FTE					
Second Year	Full-Time Headcount					
	Part-Time Headcount					
	Total Headcount	-	-	-	-	-
	Total FTE					
Third Year	Full-Time Headcount					
	Part-Time Headcount					
	Total Headcount	-	-	-	-	-
	Total FTE					
Fourth Year	Full-Time Headcount					
	Part-Time Headcount					
	Total Headcount	-	-	-	-	-
	Total FTE					
Unclassified	Full-Time Headcount					
	Part-Time Headcount					
	Total Headcount	-	-	-	-	-
	Total FTE					
<b>Total Undergraduate Students</b>						
	Full-Time Headcount	-	-	-	-	-
	Part-Time Headcount	-	-	-	-	-
	Total Headcount	-	-	-	-	-
	Total FTE	-	-	-	-	-
	% Change FTE Undergraduate	na	-	-	-	-
<b>GRADUATE</b>						
	Full-Time Headcount	571	572	537		
	Part-Time Headcount	2,602	3,473	3,252		
	Total Headcount	3,173	4,045	3,789	-	-
	Total FTE	1,246.0	1,489.0	1,376.0		
	% Change FTE Graduate	na	19.5%	-7.6%	-100.0%	-
<b>GRAND TOTAL</b>						
	Grand Total Headcount	3,173	4,045	3,789	-	-
	Grand Total FTE	1,246.0	1,489.0	1,376.0	-	-
	% Change Grand Total FTE	na	19.5%	-7.6%	-100.0%	-

\*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

## Standard 6: Students (Financial Aid, Debt, and Developmental Courses)

Where does the institution describe the students it seeks to serve?

--

3 Years Prior	2 Years Prior	Most Recently Completed Year	Current Budget***	Next Year Forward (goal)
AY 2011-12	AY 2012-13	AY 2013-14	AY 2014-15	AY 2015-16

### Student Financial Aid

Total Federal Aid  
     Grants  
     Loans  
     Work Study  
 Total State Aid  
 Total Institutional Aid  
     Grants  
     Loans  
 Total Private Aid  
     Grants  
     Loans


### Student Debt

Percent of students graduating with debt\*  
     Undergraduates  
     Graduates


For students with debt:

Average amount of debt for students leaving the institution with a degree

Undergraduates  
 Graduates


Average amount of debt for students leaving the institution without a degree

Undergraduates  
 Graduate Students


### Cohort Default Rate

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### Percent of First-year students in Developmental Courses\*\*

English as a Second/Other Language  
 English (reading, writing, communication skills)  
 Math  
 Other


\* All students who graduated should be included in this calculation.

\*\* Courses for which no credit toward a degree is granted.

\*\*\* "Current Budget" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

## **Standard 7 – Library and Other Information Resources**

An area of special emphasis for this self-assessment is the success of the College in “ensuring the physical resources ... are sufficient, with particular focus on the library and information resources.” Given the demands on defense spending and the recent sequestration, it has been a challenging time to receive approval for major construction projects. However, with the full support of the Navy’s Advanced Education Review Board, the Naval War College successfully received approval for funding to create a new Learning Commons that will integrate library and information resources into a central area designed to foster study, research, and collaboration in an inviting learning environment. While the rehabilitation and expansion of the former library space will not be completed until fiscal year 2016, the new design will fully meet the College’s requirements for the foreseeable future. During June and July, NWC relocated its library collection and resources elsewhere on campus for the interval scheduled for construction.

### **Description**

#### **Resources and Access**

The Naval War College Library, named in honor of Rear Admiral Henry Effingham Eccles, supports the College’s mission, functions and tasks by providing reference assistance, reading list preparation for courses, reference materials, bibliographies, electronic literature searches, and access to 97 databases, classroom instruction, and interlibrary loan service to the education, research, analysis, and gaming programs. The library also aids curricula development by assisting faculty research, and publishing bibliographies and library guides. Additionally, the library supports visiting scholars and other Naval Station Newport activities, including the Surface Warfare Officer’s School and the Navy Supply School.

The library is composed of both the main library and the naval historical collection. The main library contains over 300,000 print books and documents, 52,000 full text electronic journals, 30,000 microforms, and 13,000 total media materials. There are fourteen full-time professional librarians and ten support personnel working in the library. The library is organized into three functional subdivisions: the naval historical collection; infrastructure and content; and information and access services. There is also a classified library branch for the classified material required to support educational and research needs.

By the early 1980s, the library collection exceeded the capacity of Hewitt Hall. A 1989 floor-load-capacity analysis confirmed that the original strength of the Hewitt Hall floors (85-100 pounds per square foot [PSF]) was insufficient for library loads (150 PSF); strict restrictions were accordingly put into place, requiring off-site storage of over two thousand boxes of rare books and historical documents and limiting annual growth. Furthermore, the space lacks the electrical circuitry and wiring needed for a comprehensive information technology backbone. Additionally, the heat and cooling system (HVAC) cannot provide proper humidity and climate control for the collection;

the lower level suffers water infiltration; the fire protection system does not meet current code; and the facility is not compliant with the American disabilities act requirements.

During the College's extensive growth period of 2006-2009, the expansive student study areas were compromised to provide necessary space for classrooms and faculty offices. Efforts to improve student support areas resulted in the re-location of 35,000 volumes from the library to an off-site storage facility, and the movement of other portions of the collections to various locations within the College complex

For the two-year period of renovation, the library adopted a partially-closed collection model. Part of the collection is open for browsing in Sims Hall and part of the collection is closed and housed in Brett and Mahan Halls. Materials in closed collections can still be accessed by placing holds on desired materials through the online catalog. The library maintains the necessary delivery service that delivers requested materials to the circulation desk in Sims Hall for pickup at designated times.

### **Information and Technological Literacy**

Librarians provide tours to incoming students and new faculty during their orientations. Additionally, the reference desk librarians instruct students how to access information and conduct searches using the library's many on-line databases including FirstSearch, ProQuest, LexisNexis, Jane's On-line, Global Information System, and the Military Education Research Learning Network (MERLN). Students and faculty can also access information from their homes and offices using the on-line search tools. The library participates in the Consortium of Rhode Island Academic and Research Libraries (CRIAL) which gives patrons access to other academic libraries throughout the state.

The NWC Library contracted in June 2014 for a new integrated library management system called Symphony. Recently, the NWC Library went live with Symphony, thereby changing the computer platform used for daily library operations to a cloud-based solution. The library catalog can now be accessed on campus or off campus from anywhere in the world with an Internet connection. Faculty, students and staff members have a more functional user interface and an easily searchable cloud-based catalog with full-text and unlimited index search.

### **Effectiveness**

NWC collects data concerning the library, information resources and services, and information technology, annually, as a part of the graduate and alumni surveys. Additionally, the library staff routinely collects usage data and tracks system performance to ensure that the library is effectively meeting the needs of students, faculty, and staff.

## **Appraisal**

### **Resources and Access**



The book collections strengths are in political science, international relations, military/naval science, history, international law, and management. Internal library publications, such as the new library guides, continue to enhance access to information about the collection and specific topics and constitute a key element of academic support for courses and faculty research. Over the last decade, the library's electronic resources have kept pace with the significant growth in available databases and electronic information resources. Likewise, funding for the library has increased to meet the increased mission responsibilities.

Students and faculty routinely praise the support provided by a dedicated and resourceful library staff. Survey data and informal feedback indicates the high value the users attribute to the staff and the resources of the library. The only negative feedback relates to the cold environment during the winter for the study carrels in the library's basement. The study carrels in the temporary location in Sims Hall offer a superior learning environment and provide more student study space than was formerly available in the library.

Research shows that institutionally-driven student engagement activities can have a positive impact on student success. The future learning commons intends to build on this notion by blending together the traditional library role with technology support, the writing center, knowledge creation tools, and collaborative work spaces for resident and distance learning.

NWC adopted the concept of a learning commons because its design and intent is well suited for the NWC community and the NWC mission. Our educational model relies on the active participation and interaction of our mid-career professional students with each other and the faculty in addressing the international security challenges facing the nation. Research shows that personal development and student learning are intertwined and that there is an imperative for libraries to collaborate with other campus units to promote student learning. The learning commons brings together the functions of many student support entities, including the library, computer labs, lounges, and seminar areas in a single community gathering place. It also provides significant support for the faculty in their scholarly work and should foster further interaction among faculty and between faculty members and students outside of the classroom.

The College conducted town hall meetings with students and faculty to solicit feedback on the purpose and design of the learning commons and to socialize and refine the design with its intended users. The library staff also developed and implemented a short survey designed to enable students and faculty to shape the design.

There are some challenges. The cost of redesigning Hewitt Hall will be substantial, and legacy infrastructure designed for housing books and journals is costly to reconfigure. A concerted effort to shift to e-books and digital full text journals has not alleviated the difficulty of storage and accessibility to these large and growing legacy print collections. Also, in terms of design, there is not an accepted single model to follow. Even with careful planning, a service area such as the writing center may become

a victim of its own success, becoming overcrowded, especially during peak periods.

Access to classified desktop terminals connected to the secure network (SIPR) may be problematic during the relocation period with the closing of the classified section of the library. However, the library staff has made alternate arrangements to access SIPR terminals in both Sims Hall and McCarty Little Hall.

### **Information and Technological Literacy**

Students and faculty receive training on using library assets during their orientation. Additionally, selected seminars invite reference librarians to give short presentations on using the various databases and search engines to conduct research. These classes are well-received by students and faculty members. The valuable research skills will continue to assist students as they progress in their professional responsibilities and sustain them as life-long learners.

Faculty indicate that students meet expectations in their individual research and writing requirements, demonstrating the proficiency expected of our professional, graduate-level students. Equally insightful is the regular success which students demonstrate collectively in their capstone exercises integral to the core academic program. Faced with complex problems encompassing a wide array of challenges, students apply their research skills to provide themselves sufficient knowledge to conduct informed deliberations and make sound recommendations and decisions.

### **Effectiveness**

Data collected from graduates and alumni consistently indicate that they are more than satisfied with the support and service received from the NWC library. The librarians are often mentioned by name as individuals who contributed significantly to their intellectual, personal and/or professional development during their time at NWC. Overall, library personnel have gained a reputation for responsiveness and cooperation.

The library recently established an assessment and measurement team, to more effectively measure and analyze outcomes and track customer satisfaction. Recently, the library staff conducted a survey to better understand faculty research and teaching needs and to help guide the investing of scarce resources over the next three to five years. Eighty-three civilian and military faculty members responded to the survey; results are being tabulated and will be distributed to staff and faculty upon completion.

Curriculum and research needs are constantly re-evaluated by the faculty and the library staff. Resource materials are purchased according to subject needs.

## **Projection**

### **Resources and Access**

The new learning commons will continue to play a prominent role in the College's success in the future. The learning commons differs from the legacy library in a number of ways, both in terms of services offered and resources. The fundamental change occurs in understanding how students and faculty socialize and learn in spaces outside the classroom. The learning commons will bring together educational technology, information technology support, traditional library support, and opportunities to collaborate all under one roof. The most significant staffing change will occur with bringing the entire Information Resources Department into the learning commons. The library will move to a single-desk service model that offers circulation, reference and research and information technology support. Additionally, the library will expand to two different service points.

The most significant structural change is the addition of an entire floor which will house the monograph and bound periodical collections. The new design allows the return from off-site storage of almost 28,000 monographs. NWC is also implementing an all-new mobile, compact shelving system that will support predicted future growth.

The learning commons offers 68% more personal storage spaces by increasing individual lockers from 245 to 412. Seating at tables remains at about 132 seats, but soft seating that can be moved around increases 41% to 79 situated throughout the Learning Commons. Computer workstations increase from 51 to 121 and this includes seating located in new classrooms and at new collaborative workstations. Finally, the Learning Commons opens the center courtyard and will integrate a new cafe and seating within the learning spaces to facilitate student and faculty collaboration in an open environment.

### **Information and Technological Literacy**

The planned movement and integration of the College's Information Resources Department and associated IT support into the new learning commons will facilitate students and faculty continuing to embrace technology throughout their program of study. The use of the cloud-based technology supporting access from any access point will also make it easier for customers to access reference materials when conducting research.

Distance learners make up a large part of the student body. Adjunct faculty members are off campus and many of the on-campus faculty members routinely travel in their duties. The cloud-based technology will also facilitate their access to library resources and reference materials. Over the next few years the library plans an increase in the purchase and maintenance of e-resources, and to expand the use of social media.

### **Effectiveness**

The College will continue to solicit feedback from students, faculty, and other users to improve the levels of service provided. The library is a dynamic organization that seeks to meet the needs of its patrons and to provide them with outstanding service. This goal has been accomplished for many years. However, the library staff will be challenged to provide the same level of support from Sims Hall over the next two years.

**Standard 7: Library and Other Information Resources  
(Library)**

	3 Years Prior	2 Years Prior	Most Recently Completed Year	Current Year* (actual or projection)	Next Year Forward (goal)
	AY 2011-12	AY 2012-13	AY 2013-14	AY 2014-15	AY 2015-16
<b>Expenditures/FTE student</b>					
Materials	607K	631K	1047K	837K	995K
Salaries & Wages	2440K	2323K	2456K	2579K	2660K
Other operating	643K	702K	775K	764K	797K
<b>Collections</b>					
Total print volumes		302,645	301,361	280,127	305,000
Electronic books		8,291	8,915	9,083	10,000
Print/microform serial subscriptions		422	422	422	422
Full text electronic journals		3,783	52,379	62,803	70,000
Microforms		25,631	30,454	32,203	
Total media materials		13,910	13,833	12,446	13,000
<b>Personnel (FTE)</b>					
Librarians -- main campus			11.0	12.0	14.0
Librarians -- branch campuses					
Other library personnel -- main campus			12.0	10.0	12.0
Other library personnel -- branch campus					
<b>Library Instruction</b>					
Total sessions -- main campus		13	12	7	14
Total attendance - main campus		808	911	61	1000
Total sessions -- branch campuses					
Total attendance -- branch campuses					
<b>Reference and Reserves</b>					
In-person reference questions	2405	2571	2602	708	2600
Virtual reference questions	198	436	543	414	600
Traditional Reserves:					
courses supported		132	135	141	140
items on reserve		175	164	185	180
E-Reserves:					
courses supported					20
items on e-reserve					50
<b>Circulation (do not include reserves)</b>					
Total/FTE student		23	26	11	25
Total full-text article requests	1491	701	815	878	880
Number of hits to library website		19202	97619	62384	120000
Student borrowing through consortia or contracts					
<b>Availability/attendance</b>					
Hours of operation/week main campus	119	119	119	119	119
Hours of operation/week branch campuses					
Gate counts/year -- main campus		105993	113181	51524	120000
Gate counts/year -- average branch campuses					
URL of most recent library annual report:	<a href="http://usnwc.edu/Academics/Library/Library-Annual-Report.asp">http://usnwc.edu/Academics/Library/Library-Annual-Report.asp</a>				
URL of Information Literacy Reports:	<a href="http://usnwc.edu/Academics/Library/Library-Annual-Report.asp">http://usnwc.edu/Academics/Library/Library-Annual-Report.asp</a>				

\*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.  
Revised July 2011

**Standard 7: Library and Other Information Resources  
(Information Technology)**

3 Years Prior	2 Years Prior	Most Recently Completed Year	Current Year* (actual or projection)	Next Year Forward (goal)
AY 2011-12	AY 2012-13	AY 2013-14	AY 2014-15	AY 2015-16

Number (percent) of students with own computers			8	15	20
---	--	--	---	----	----

**Course management system**

Blackboard LMS

Number of classes using the system

Classes on the main campus

Classes offered off-campus

Distance education courses


**Bandwidth**

On-campus network

1 Gig	1 Gig	10 Gig	10-20 Gig	20 Gig
-------	-------	--------	-----------	--------

Off-campus access

commodity internet (Mbps)

100 M	300 M	1 Gig	1 Gig	As Needed
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high-performance networks (Mbps)

100 M	700 M	10 Gig	10 Gig	As Needed
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Wireless protocol(s)

--	--	--	--	--

**Network**

Percent of residence halls connected to network

wired

N/A	N/A	N/A	N/A	N/A
-----	-----	-----	-----	-----

wireless

N/A	N/A	N/A	N/A	N/A
-----	-----	-----	-----	-----

Percent of classrooms connected to network

wired

100%	100%	100%	100%	100%
------	------	------	------	------

wireless

0%	20%	100%	100%	100%
----	-----	------	------	------

Public wireless ports

0	10	10	20	20
---	----	----	----	----

**Multimedia classrooms (percent)**

Main campus

1005%	100%	100%	100%	100%
-------	------	------	------	------

Branches and locations

1005%	100%	100%	100%	100%
-------	------	------	------	------

**IT Personnel (FTE)**

Main campus

32.0	38.0	37.0	37.0	38.0
------	------	------	------	------

Branch campuses

N/A	N/A	N/A	N/A	N/A
-----	-----	-----	-----	-----

Dedicated to distance learning

2.0	3.0	2.0	2.0	3.0
-----	-----	-----	-----	-----

**Software systems and versions**

Students

Microsoft Windows 7X64

Finances

Microsoft Windows 7X64

Human Resources

Microsoft Windows 7X64

Advancement

Microsoft Windows 7X64

Library

Microsoft Windows 7X64

Website Management

Mirosoft Windows 2008/Kentico

Portfolio Management

N/A

Interactive Video Conferencing

D.C.O.

Digital Object Management

Microsoft Windows 7X64

\*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

## **Chapter 8 - Physical and Technological Resources**

### **Part 1 - Physical Resources**

#### **Description**

Since 2003, the College has grown from nine to sixteen buildings, aboard the Newport Naval Station, including twelve in a thirty-five acre complex of waterfront property on Coasters Harbor Island. The buildings contain offices and classrooms, a war-gaming center, four auditoriums, a library, computer rooms, high-security vaults, graphic and photographic shops and laboratories, a mailroom, and a museum. The remaining four buildings, located on the Naval Station main side, are the Navy Leadership and Ethics Center, the Senior Enlisted Academy, and two warehouses.

#### **Historic Buildings**

##### **Founders Hall**

Founders Hall is a National Historical Landmark. Originally constructed in 1820 as the Newport Asylum for the Poor, the Secretary of the Navy established the College in Founders Hall in 1884. In 1974, the leadership of the College named the building Founders Hall, and opened the Naval War College Museum in it in 1978, to feature exhibits on the history of naval warfare and the naval heritage of Narragansett Bay. Today it also contains the offices of the Maritime History Department. Although it underwent a major renovation in 1984, with less extensive improvements in 2007 and 2014, it requires significant restoration and modernization to preserve its overall structural integrity as a historic building and to sustain the routine operation of historical activity consistent with the College's mission. A major renovation is planned for 2016.

##### **Luce Hall**

Serving as the home of the College until the mid-1970s, Luce Hall now houses the Naval Command College, the International Programs Office, the Naval War College Foundation, six classrooms, and the Stockdale Research Group. A major renovation of Luce Hall in 2008 replaced the roof and upgraded the major building systems. A recently awarded project will renovate the basement, replace drainage systems, and provide additional office space.

##### **Pringle Hall**

Pringle Hall houses the Naval Staff College and various administrative functions. The building also contains a 280-seat auditorium, a student computing area, a large classroom, and a lecture room. Pringle Hall is a building of significant historical importance to the United States Navy and the nation, opening in July 1934 as the nation's first war-gaming facility. Most of the gaming that shaped our Navy's thinking in the Pacific War took place here. Several major renovations have been completed in 2003, 2006, and 2013, protecting the granite structure from the effects of its location right on the water and providing upgraded building systems commensurate with existing technology.

### Mahan Hall

Constructed in 1904, Mahan Hall houses the rotunda and conference center, the Naval Historical Collection, the College's archives, museum storage, student study areas, and administrative offices. Additions were completed in 1938 and 1966 which house additional archive collections, mission support, and academic offices. Interior repairs in 2007 and 2008 improved the conference support facilities. A complete renovation of Mahan Hall is necessary to address fire-safety issues, roof repairs, drainage issues, and compliance with the Americans with Disabilities Act, as well as to replace antiquated mechanical, electrical, and heating and cooling systems. Major repairs to Mahan scheduled in 2013 were delayed because of space constraints imposed by other renovations on campus. The project is expected to be funded in 2016.

### Sims Hall

Built in 1904 as a barracks and planned for demolition upon completion of the College's war-gaming facility in 1999, Sims Hall is a three-story masonry building composed of three major wings connected by a central passageway. Currently, the building houses the Chief of Naval Operations' Strategic Studies Group (CNO SSG), much of the NWC library's assets, swing space for major renovations, mission support personnel, and NWC's intelligence and special security functions. Sims Hall also contains an auditorium and ten rooms being used as classroom space.

Sims Hall has had no substantial restoration or modernization work for over thirty years; its mechanical, electrical, and fire-safety-life systems have reached the ends of their useful lives. Restoration and modernization is neither economical nor practical as a recent study determined the costs for extending Sims Hall an additional 25 years exceeded \$50M. Minor repairs have been completed and \$1.6M in repair projects is underway to fix the most critical issues.

### **Modern Buildings**

The College's three main academic buildings—Spruance, Conolly, and Hewitt Halls—are granite structures that appear from the outside to be a single, very large building. They have a common fire protection system and parking garage.

### Spruance Hall

This two-story building constructed in 1972 houses a large auditorium and assembly area; there are some faculty and administrative offices on the second floor. The College uses the auditorium continually throughout the year for academic events, symposia, conferences, and formal ceremonies. It seats 730, with an expanded capacity of 1,100. Spruance Hall received extensive repairs over the last five years including a state of the art auditorium, new roof, and upgraded electrical/HVAC systems.

### Conolly Hall

Constructed in 1974, Conolly Hall contains office space for the staff and faculty and is the core of student services. It also has an executive conference room, an executive classroom, and four regular classrooms. The College's leadership and some of the academic faculty are housed on the second, third, and fourth floors. Aging mechanical and electrical systems were slated for a major upgrade in 2013 which NWC postponed until 2017 due to mission requirements.

## Hewitt Hall

Constructed in 1976, Hewitt Hall normally houses the Dean of Students, the Eccles Library, other administrative functions, and computer labs, but it is primarily an academic area, containing several student study areas outfitted with computers, and twenty six classrooms.

The College's leadership continued to focus on improving Hewitt Hall and its other academic buildings, establishing eight additional classrooms during the 2008 expansion. Technology upgrades in the Hewitt classrooms have been accomplished in stages providing all the classrooms with state of the art projection, and instructional technologies. This was part of a multiyear plan to improve classrooms. A new executive classroom was completed in 2006, with modern audiovisual and a video-teleconferencing system.

The café within Hewitt Hall, which was opened in 2001, had seating area renovations in 2010. Operated by Naval Station Newport, the café has substantially enhanced the community life of the College's students, faculty, and staff, providing an informal setting where faculty and students can collaborate. Hewitt Hall received major renovations in 2006, 2008, and 2012. Hewitt Hall is the subject of a \$12.4M major renovation in 2014 which will result in a Learning Commons, expand student study space, and provide extensive upgrades to the IT infrastructure and support offered to the college.

## McCarty Little Hall

The College's newest building, McCarty Little Hall, was completed in 1999. It supports the NWC's research, analysis, and gaming functions. The building is designed to accommodate technology necessary for the multimedia presentations, video teleconferencing, and computer networking systems essential for war-gaming. The first floor contains a 160-seat, stadium-style auditorium, as well as a large gaming floor. The second floor includes four large and eight small game cells used for operational play, as well as the Decision Support Center and an executive conference room. The third floor is devoted to the Joint Command Center, patterned on various operational command centers used by joint task force commanders. In addition, this floor has a high-tech conference room, six academic classrooms, two video-teleconferencing facilities, and office space. Major renovations conducted in 2010 and 2012 focused on the exterior. Interior improvements to the IT infrastructure and highly classified areas are planned for 2015 and 2017.

## Evans Hall

Evans Hall, originally built in 1990, was assigned to NWC in 2007. Necessary renovations to modify the facility into a Maritime Operational Command trainer were then completed. The operational level of war education performed here supports the fleet. Additionally, eleven faculty spaces and three classrooms in Brett Hall are used to satisfy the demand for additional courses. Classrooms and faculty space are still needed to support the overcrowded faculty conditions in Evans. Construction of P-479 will satisfy this requirement. Renovations in 2008, 2009, and 2011 improved the roof and heating and cooling systems. Additional repairs are scheduled for 2015.



### Schonland Hall

Constructed in 1917, Schonland Hall was assigned to the NWC in 2006 to meet classroom requirements. In 2008, its main use was for offices and it now houses the Comptroller and Procurement departments. Exterior improvements in 2011 and heating and cooling system repairs in 2015 will address near term issues. Schonland is slated for demolition with the construction of P-479 due to the costly structural repairs needed to guarantee its viability for the long term.

### Brett Hall

Though the College has utilized classroom space within Brett Hall since 2003, temporary occupancy of the top two floors of the three story facility was needed in 2011 to provide swing space while Pringle Hall was under construction. Subsequently, NWC uses this area for classrooms and faculty spaces to support operational level of war programs. The basement is being utilized for library storage during the Hewitt renovation. Exterior improvements to Brett in 2011 and planned improvements to the interior for 2017 will upgrade code deficiencies and provide an elevator. Brett Hall is considered a temporary use facility for the College until P-479 is constructed, addressing classroom and academic space shortfalls.

### Tomich Hall

Constructed in 1989, Tomich is located off of Coasters Harbor Island. It includes both the offices and the berthing for the Senior Enlisted Academy (SEA). The bottom two floors include the offices and classrooms for their academic mission. A complete exterior replacement including numerous interior improvements was completed in 2013. Additional classrooms and office space is being sought in Perry Hall to support the SEA's expanded mission.

### Perry Hall

Constructed in 1969, Perry is adjacent to Tomich Hall and provides offices and classrooms for several Naval Station and NWC programs. The Senior Enlisted Academy and the Navy's Leadership and Ethics Center (NLEC) utilize classrooms, offices, and an auditorium. Improvements are planned for FY14 and FY15 which will upgrade interior spaces and provide windows in the faculty offices.

### Distance Learning Sites

The College offered the core courses of its non-resident Fleet Seminar Program at twenty additional instructional locations during Academic Year 2013–2014. Nearly all of these are located on major naval stations or other DoD facilities. These installations all have substantial and permanent classroom infrastructures devoted to education and training. Agreements have been negotiated with each base commander to make these spaces and appropriate equipment available for the College's use.

### **Maintenance and Repair**

The Facilities Maintenance Department is headed by the Director of Facilities, a civilian, assisted by a civilian Project Engineer, a civilian Safety Officer, and an active duty Navy Civil

Engineer Corps officer who oversees a civilian labor force of twenty-five personnel. The annual budget (excluding labor) is about \$700,000 which funds unique mission requirements (ceremonial support, classroom-seminar set-up, faculty support, locksmith services, etc.), customer-generated construction projects, space conversions, and some facilities services (e.g., grounds maintenance).

In FY04, the Navy implemented a second phase of Installation Claimancy Consolidation (ICC), which covers the College. Effective 1 October 2003, the Navy transferred ownership and maintenance responsibilities of the College's facilities to Commander, Naval Installations (CNI). CNI is responsible for Sustainment, Restoration, and Modernization (SRM) funding; facilities management (e.g., engineering studies, facility inspections); utilities; and common facilities services (e.g., snow removal, refuse collection, recycling, custodial). The most apparent benefit has been the allocation of SRM funding to address the College's backlog of maintenance and repair. SRM funding from CNI reached the \$1.4M range in 2004, and continuously grew over the next several years. The College works closely with CNI and the Commander, Navy Region Northeast, ensuring that the available funds are focused on the most critical needs.

In 2008, the Chief of Naval Operations established the Advanced Education Research Board (AERB), chaired by the Vice Chief of Naval Operations to examine the standards of excellence provided across the three member schools. In addition to addressing the academic and mission focus of the NWC, the Naval Postgraduate School, and the Naval Academy, the AERB has included a focus on ensuring the appropriate funding of infrastructure improvements. The last five years of robust funding for facilities sustainment has been a direct result of the AERB's oversight. Funding endorsed by the AERB has targeted support to the NWC as one special project between \$3M-\$7M and sustainment funding at \$4M per year. This support has enabled NWC to systematically improve each of its buildings with major repair projects since 2007. Looking forward, the AERB has endorsed funding for a major project for the NWC in FY15 and FY16.

### **Safety, Security, Support**

The NWC has a full-time Occupational Safety Health (OSH) Manager, who manages a comprehensive OSH program that complies with DoD and Navy policy and regulations. The OSH Manager investigates and records all mishaps, investigates all safety emergencies, and makes Naval Safety center reports as required. Naval Health Clinic New England (NHCNE) Industrial Hygiene Office assists with employee occupational health, conducts sound and air-quality surveys relating to Employee Reports of Unsafe or Unhealthful Working Conditions and conducts Industrial Hazard (IH) Biennial Surveys. In addition, the Safety Manager performs regular safety zone inspections. Discrepancies are noted, prioritized, corrected or abated, and re-inspected. Fire Hazards Inspection Reports (FHIR) received from Naval Station Newport Fire Department are immediately sent to the responsible department for correction. The Safety Manager also provides technical assistance to the Facilities Department regarding environmental compliance (asbestos, lead, etc.) and fire safety/alarm systems, and conducts hazard awareness training for employees.

Safety, fire and environmental compliance is measured during annual safety self-audits conducted in accordance with OPNAVINST 5100.23 (Series), supplemented by periodic Navy Inspector General (IG) and Naval Safety Center visits. Overall compliance is coordinated through the Naval Station Newport safety and environmental offices.

A computer-based security system maintains positive control of and access into the buildings. In addition, the College maintains a twenty-four-hour Quarterdeck watch, which makes periodic safety, fire, and security rounds throughout the complex. There is a need to reduce risk to

the College's resident personnel and the senior military commanders and civilian policy makers who routinely visit the College. According to the Minimum DoD Antiterrorism Construction Standards for Buildings, physical barriers, intrusion-detection devices, personal-protection measures, blast mitigation, and a trained and armed security force are required.

The College maintains its security posture in conjunction with Naval Station Security forces through a second access perimeter at our manned entrance gates. Use of electronic surveillance and card access to buildings further strengthens the College's position. Funding for a mass notification system has been provided for FY15, which will improve the NWC's ability to provide centrally controlled communication in the event of a disaster event.

### **Appraisal**

The College's leadership recognizes the critical importance of the physical plant to the vitality of the institution and its mission. Goal 9 of the College's *Strategic Plan, 2014-2018*, is to "continue to improve the College's vital infrastructure." The leadership is also acutely conscious of the importance of the institution's public role as host to distinguished visitors, conferees, lecturers, and faculty as well as to U.S. and international students. It has endeavored to preserve the highest standards of facility condition and appearance. An experienced and dedicated maintenance staff significantly helps in this endeavor.

On balance and considering the deficiencies noted in the foregoing assessment, the physical resources of the NWC adequately support its mission, and plans exist to ensure that they continue to do so in the coming years. The AERB's focus on improving the facilities and environment at the Navy's graduate institutions has ensured funding was available to conduct large repair projects on many of our structures. Several of the College's buildings remain in poor to fair condition but meet the minimum requirements, in terms of space and condition, for an academic institution. Barring catastrophic failure and aside from intermittent climate-control irregularities, the facilities do not, at present, adversely affect the quality of education.

With the growth in the Naval Command College (NCC) and the Naval Staff College (NSC), and the U.S. students, the College is challenged to provide sufficient study and collaboration space and enough classroom space to keep seminars at an optimum size. Faculty office space is another continuing challenge. Historically, two faculty members have shared an office; this arrangement facilitates faculty interaction and teaching-team partnerships but puts privacy at a premium. Currently, all available faculty office space is taken, and some faculty members are physically separated from their departmental colleagues. Co-location of department faculty, a priority during our recent expansion efforts, has been very successful, creating a neighborhood environment with improvements in collaboration and a sense of community. Robust facilities spending, over \$60M in the past nine years has had a significant positive impact on the quality and longevity of our facilities. The continued support of senior Navy leadership in addressing our backlog of repairs continues to be evident for the short term.

### **Adequate SRM Funding**

Adequate SRM funding is essential for the continued availability of the facilities for academic and research purposes. Less than full SRM funding places a substantial burden on the College's budget, and increases the risk to its historic buildings. Without SRM funding, the

College must defer required sustainment, restoration, and modernization unless special CNO funding augments are received. Moreover, deferral of facility sustainment compounds the SRM backlog and drives up the cost of future restoration-modernization projects. Improvements in this area over the last eight years have helped with the major facility system repair and maintenance. Further funding support is needed to provide the structural and architectural improvements needed to change classrooms and offices to align with the colleges changing mission and technology.

The leadership of the College has had recent success in obtaining project funding directly linked to the goal concerning facilities in the College's strategic plans of 2003 and 2008. Specifically, a stabilized SRM facilities budget has been achieved, starting in FY04, carrying through to the present, with robust funding in support of maintenance and repair.

### **Space Availability and Management**

Over the years, the student and faculty populations have expanded. Hewitt and Conolly Halls can no longer accommodate student and faculty loading, and expansion to Schonland, Evans, Sims, and Brett has been needed to meet the requirement. Since September 2001, the College and SSG have played key roles in developing a national strategy to combat terrorism worldwide; the terrorist threat and the Navy's *Sea Power 21* transformational initiative have increased the value of and demand on the College's war-gaming capabilities. The international officer program continues to grow; the needs of the U.S. services are meeting resident student quotas. This mission growth, along with the long-standing issues of the library and the end of the service life of Sims Hall, has increased competition for space to operate efficiently, provide effective logistical support, and adequately accommodate the College and SSG.

The College's assessment of its space allocation resulted in reassignment of spaces, conversion of storage into office space, and recovery of underutilized spaces. For example, additional space was allocated to the Naval Command College and the Naval Staff College, and mission support personnel were relocated to accommodate the expansion. The College is also approaching Naval Station Newport to determine if any excess buildings are available that meet its needs. In 2008 Naval Station Newport agreed to allow NWC to use Brett Hall, to house academic functions, which has partially satisfied the need for additional classroom and office space. In general, to ensure proper command emphasis and application of common business practices, all requests for additional spaces are reviewed by the Directors of Operations and Facilities.

Over the last six years, planned renovations have removed a major building from use each year. Combined with our mission growth, this has placed space at a premium. The addition of some buildings has alleviated some of the challenge, but the execution requires close management. Since the renovations matched the NWC's master plan for infrastructure improvement, leadership was able to plan judiciously. To manage the details and examine the full implications of the planned temporary relocations, the NWC established a Space Planning Committee which includes college-wide representation and meets regularly to evaluate solutions for appropriate action.

Construction of P-479, the Center for Leadership and Ethics, will correct most of the College's space challenges. Until then, the NWC will employ a three-pronged approach to space management: (1) continue the comprehensive examination of space allocations; (2) continually identify functions that can be performed off site; and (3) develop plans for temporary structures to house critical research and faculty personnel until the MILCON project is ready for occupancy. Under the oversight of the Provost, the College's leadership ensures that all decisions concerning

physical resources are consistent with the mission and purpose of the College.

### **Capital Improvement Plan**

The College's Military Construction (MILCON) program consists of two projects:

#### **P-103: Hewitt Hall Learning Commons**

P-103, awarded for \$12.4M in summer 2014, renovates the aging Eccles Library and converts a parking garage to interior space for high density book storage. With a focus on student support, collaboration, and state of the art technology, the new Learning Commons will house both the library and technical support branch. During the design phase, special attention was given to providing students with the technology and space needed to support their study and research efforts. A total of 84,000 square feet will be renovated during the construction phase, with \$500K in audiovisual and \$2M in furniture and furnishings to follow. Four classrooms, two of them classified, will be provided under this project.

#### **P-479 Center for Leadership and Ethics**

P-479 will provide an 85,000 square foot facility to house the Navy's Center for Leadership and Ethics, and address the critical need for classroom space. The construction is part of the Naval Station Newport's Vision 2035 Master Plan and provides a facility commensurate with current technological needs. P-479 will also house the Strategic Studies Group and address the critical space shortage for faculty spaces. Though currently unprogrammed, P-479 has the attention of senior Navy leadership as a centerpiece for their emphasis on ethics and leadership.

### **Navy-wide Installation Consolidation**

CNI's establishment has aided in addressing the chronic shortfall in maintenance and repair funding. However, due to the past years of underfunding, the maintenance and repair requirements at the College continue to trend upward. Even with the infusion of CNI funding, its SRM shortfall is approximately \$2 million annually. Continuous coordination with NAVSTA and regional personnel is needed to manage requirements and funding.

### **Special Projects**

The College's Special Projects program consists of eight projects totaling in excess of \$37 million. Without an active Special Projects program, the ability of the College to provide professional military education would stagnate, placing its accreditation in jeopardy. As previously noted, the College's leadership obtained over \$43 million from CNIC for major repairs to many of our buildings over the past ten years. The College has a project for FY14 for \$3.5M to repair Luce Basement and is scheduled for a FY15 project for \$3.1M to repair the exterior of Conolly and Spruance Halls. Additional projects are scheduled for the out years.

### **Distance Learning Sites**

The College has encountered a few problems in obtaining the adequate facilities to support its distance learning operations. For example, on bases such as the Naval Air Station Patuxent River in Maryland, the Chief of Naval Reserve Headquarters in New Orleans, the Naval Air Station Jacksonville in Florida, and the Naval District Washington, DC, NWC seminars meet in the base commander's personal conference room. Elsewhere, such as in Annapolis, MD, seminars are held in regular college classrooms at the Naval Academy. Many of these facilities, such as

those in Millington, Tennessee and at Great Lakes, Illinois, are also used for regular graduate and undergraduate classes.

The few problems that have been encountered are not detrimental to the conduct of the Fleet Seminar Program. Although the College does not have the level of control over facilities that it does in Newport, it proactively “flags” potentially negative items. Resident faculty members periodically visit these sites to teach and to evaluate professors and the learning environment. Adequate visual aids, comfortable climate control, sufficient seating, and unimpeded access are occasional issues but are resolved by faculty in concert with liaison officers. When needed, the NWC provides financial assistance to upgrade facilities and, in some cases, equipment.

### **Projection**

The establishment of CNI has helped the College in recapitalization of the existing facilities over the long term. The College’s MILCON and Special Project programs address the long-term facility and recapitalization requirements. The construction of the P-479, housing our Ethics and Leadership Center, classroom and faculty spaces, and the Strategic Studies Group, will resolve the current shortfalls in these areas.

The physical resources at the additional instructional locations presently support the mission of the College, and procedures and plans exist to ensure that they continue to do so. Site visits by resident faculty and staff, formal and informal faculty feedback, student feedback, and liaison officer input provide the means to evaluate space and other requirements.

The permanent solution for Sims Hall is P-479, a new Military Construction Project which will offer nearly a 2 for 1 footprint reduction of aging infrastructure. The new facility will offer efficient space allocation to support not only the academic and research functions currently located in Sims, but also provide an anchor for the NWC’s Center for Leadership and Ethics. Providing a long term solution for the college’s classroom shortage is an essential element in the College’s long term plan. P-479 is currently unprogrammed but remains a high interest item with the CNO.

### **Part 2 -- Technical Resources**

To accomplish its mission, NWC must communicate effectively with the Navy and throughout the Department of Defense. Additionally, our military faculty and our mid-career students must sustain their professional networks. The principal network with DoD is the .mil network. For security reasons, this .mil network is highly regulated, focused on information assuredness. The nature of this network significantly lessens its suitability for academic efforts.

Consequently, NWC switched from a .mil to an .edu address as its primary regime. Since NWC must sustain its .mil connectivity, the College made a large investment in equipment to sustain capability on both networks. As presently configured, users on the .edu network are transparently also connected to the .mil network through an on-campus linkage of the two modes. This set up meets the necessary security requirements and provides users access to both systems. This is a critical improvement to our information resources since 2004.

## Description

### Network Resources

The unclassified education and research network consists of a 1Gbps connection available to every desktop, with a Multi-10Gigabit redundant backbone across campus to a central core housed in the communications center in McCarty Little Hall. There is a 1Gbps connection to Internet1 (the commodity “Internet”) and a 10Gbps connection to Internet2 (a research network reserved for Higher Education members). These services are provided by a regional 501c3 (non-profit) service provider serving PK-20+ in Rhode Island and Southeastern Massachusetts via OSHEAN.org. This configuration provides redundancy in the connectivity to campus to ensure availability for teaching, learning, and research support. Each of these connections is capable to scale to multi-gigabit connections, to meet the future support requirements such as large research dataset movements or high-bandwidth real time applications for research, simulation, or gaming. NWC also employs the Blackboard Learning Management System in conducting resident and non-resident programs.

There are also two connected classified networks on campus to support mission essential tasks. SIPRNet provides access to information up to NATO Secret and JWICS for access to information up to Top Secret. The SIPRNet is centrally run and maintained as a DON fully accredited network consisting of centralized and managed server and workstation images. This management model allows for the constant maintenance, patching, updates, and software modifications to a central “golden” workstation image and eliminates the need to manage over 350 individual traditional SIPR workstations. JWICS network provides up to Top Secret level data and is housed in special classified areas on-campus. War games are conducted on one of three dedicated gaming networks (Unclassified, Secret NOFORN, or Secret REL). The unclassified gamenet is non-persistently connected externally. Both classified (Secret) gamenets are stand-alone and not externally connected.

Classified workstations are Windows 7x64 based systems and are implemented, certified and accredited as a fully compliant DON enclave. Other resources include SharePoint site, Exchange based email/calendaring systems and the NWC SIPR Website. Cloud Hosted Services include Google Apps for Government (GAfG) providing email, disk/file sharing and collaborative services in addition to web, audio, video, and chat services and a myriad of other functions. EZProxy has been implemented to allow for authentication and off-site access to proprietary library databases and journals. NWC successfully migrated the locally hosted instance of the Library “Horizon” system to the cloud-based “Horizon Symphony” system providing comprehensive library services.

Academic synchronous and asynchronous on-line delivery system utilizes a hosted version of the latest Blackboard, Inc. Learning Management System. All academic readings, as part of the institution’s e-reader (iPad) program, are delivered via Blackboard. The iPad program provides flexibility to students for reading where and when they want to, while eliminating the need to plan to carry multiple books and selective readings with them in paper form, all while eliminating the printing and reproductive costs. iPads have been incorporated into the classroom environment via a campus wide Academic Wireless (Wi-Fi) solution with AppleTVs integrated into the AV systems in each classroom and lecture hall. This solution allows for real time research and

presentation to the class for further discussion. Additional integrated classroom technologies include a short throw projector capable of digitizing pen/marker movement, a teaching workstation with CD/DVD drive/player, a blue ray player, audio systems, and campus wide IPTV covering both local lectures and commercial news services for discussion of current world events impacting national security, strategy and/or foreign policy.

The NWC Information Resources Department has a relatively small, but very talented and hardworking, staff of 36, consisting of 18 Civilians, 2 Military personnel, and 16 Contractors. Four civilian positions are currently unfilled. This skilled group of dedicated individuals has not only continued to support the current mission of the NWC, but has also embraced expanding innovative programs all while maintaining network security and DON network accreditation requirements, and providing better services.

### **Current and Future Mission Support**

Sustaining connectivity through .mil on both unclassified and classified networks remains essential for enabling the NWC community to accomplish the College's mission and to sustain key professional networks. Therefore, NWC must comply with DoD and DON regulations and sustain respective network accreditations. This constrains communications as these systems favor information assuredness. They are centrally managed and update programs and processes at a deliberate pace.

To create the necessary information environment that supports and encourages teaching, learning, service, scholarship, and where appropriate, research and creative activity, NWC adopted the .edu regime as its principal network. This provides a modern, 21st century environment that incorporates and fosters the use of technology to enhance teaching, learning and research. It provides the necessary agility and timeliness in communications required to support the four major functions of the College's mission. Students, faculty, and staff involved principally in professional military education with embedded joint matters, including those in programs conferring a degree, are served via the .edu network.

Additionally, those involved in endeavors focused on research, gaming and analysis are well served by this dual connectivity. Equally important, the adoption of the .edu network eased connectivity to NWC for those not on-campus. The .mil mode requires authentication for access via an identification card with embedded data and a personal identification number. Some of our on-campus personnel and many of our off campus (non-resident) students and faculty simply lack the proper equipment to participate in the .mil regime. The .edu mode provides access to nearly all of those individuals.

The other Navy educational institutions, the US Naval Academy and the US Naval Postgraduate School, faced similar challenges trying to use the .mil network in accomplishing their academic missions. All of the Navy's degree granting institutions individually migrated to the .edu regime in order to better accomplish their missions. Subsequently, they joined NWC in forming the Navy Higher Education Information Technology Consortium (NHEITC) to support collaboration, sharing data, applications, curriculum, knowledge, planning and research. This syndicate proved to be an ideal forum for sharing best practices, lessons learned, and discussing



approaches to mutual challenges. The Navy formally approved the NHEITC as the Naval Education Community of Interest, empowering the respective chief information officers to accredit the .edu networks and authorize local network adaptations that conformed to information security standards. Overview is provided by the Navy ODAA and representatives from the Navy Staff N1 (OPNAV N16/N156) who is the resource sponsor for these institutions.

## **Appraisal**

### **Network Resources**

Students are highly satisfied with the information services at NWC. They laud the issue and use of the iPad for the flexibility it provides to their studies. Quantitative and qualitative data along with informal feedback indicates an equally high satisfaction with the responsiveness and individual service provided by the help desk personnel. Faculty and staff believe the system supports their mission efforts. Although, some perceive the switch to Goggle mail provided fewer opportunities for managing and using e-mail. Likewise, some system updates are unexpected and create adjustments at inopportune times. However, the reliability and overall responsiveness of the system is valued across the College community.

Students and faculty have favorably reacted to the adoption of the learning management system for the resident courses. It provides additional capabilities for our educational process as well as ease of access to information at nearly any location. Use of the full potential remains varied between the core academic departments, in part, because of the educational approach, but also because of the adaptability of some of the faculty to the electronic system. Most students exploit the system's capabilities.

Faculty and students use the information resources and databases in conducting individual research. Each year the faculty publishes approximately six major books of original research, a dozen or more monographs, and hundreds of articles, blogs and electronic presentations. In addition, faculty members are engaged in research and collaboration with colleagues from other institutions, aimed at specific regional policy problems. Communities of interest are maintained, including many of the non-resident students engaged in the Fleet Seminar Program. All of this research has accelerated greatly in the last five years due in part to the increased capabilities afforded the researchers on the .edu domain and the explosion in technology and web-based collaboration. Much of this research has direct relevance to Navy leadership, the operating fleets, the joint force geographic combatant commanders, and the wider profession of arms or national security specialists.

Likewise, the resources support well the mission-driven research and gaming for the CNO's Strategic Studies Group, the War Gaming department in its 40-50 games per year, instruction and simulations for the operational level of war educational programs, the China Maritime Studies Group, Halsey and Gravely Groups, and individual efforts by the research professors. Without the ability to innovate, to have useful resources (such as Internet2 and NLR) to aid in the movement of large data for collaborating faculty at other research institutions as well as the use of collaborative and real-time network tools, research will be stifled.

Currently, personnel levels are sufficient to support the information requirements. Contract labor is used to offset the lack of permanent federal employees. However, this presents a management challenge due to the rules regarding contractors. Additionally, this process introduces additional risk to personnel continuity and mission accomplishment since contract services are regularly re-bid. It also adversely affects our dedicated contractors who are integral to the information resource team since the contract renewal process puts their job at risk. Accordingly, this employment method does not promote the long term cohesive team structure that maximizes effectiveness and increases efficiency.

The recent DoD rules on travel and attendance at non-DoD conferences impede the professional development of information resources personnel. If this trend continues, NWC will be disadvantaged in providing innovative and future solutions to support teaching, learning, and research. This may also affect recruiting the highly qualified staff required to support this complex and dynamic environment. In this region, competition for talent is strong and compensation for the experienced, proven performers is generous in the private sector. Federal employment has other benefits, but recruiting and retaining our best performers remains a concern.

### **Current and Future Mission Support**

NWC leadership recognizes the requirement to adequately fund the information resource efforts. This emphasis has positioned the Information Resources Department to run more cost effectively by minimizing future life cycle replacement costs and lowering the requirement for additional staff by centralizing patch management and security management, while delivering more robust services to the community. Key technologies (such as VDI and ODDS) enhance mobility and security in this manner. NWC uses modern technology, well before those on the .mil network, resulting in more efficient management, lower operating and capital re-investment costs, while simultaneously increasing effectiveness. Long term results are an increased security posture, a fostering of programs such as mobile technology and work from home/flexible work environment, increased mission effectiveness, and improved morale.

NWC cannot successfully meet its mission requirements solely through the .mil regime with its relatively rigid set of static resources, information assuredness-centric policies, and inflexible regulatory standards. The College must be able to do the rapid prototyping and sustain the network agility required to support a modern education and research environment. The .edu network provides the necessary flexibility to meet mission requirements. NWC leadership understands that preserving such access is critical to future success.

There are two challenges to sustaining the .edu network under local direction within the guidelines practiced by the Navy's three educational institutions. First, as of October 2013, network accreditation by the NWC CIO was removed and transferred to the Navy ODAA as the sole accrediting authority. In its first year, this model has proven to be arduous and inflexible. Most of the personnel advising the Navy ODAA are only familiar with the .mil regulation, rules and practices. Their education is tedious and time-consuming, and has measurably slowed NWC's agility with information resources. A paragraph in the "projection" section addresses the second challenge.

Even under NWC CIO accreditation, there are some challenges. Hard working faculty and staff have taken the initiative to develop their own isolated technology solutions. Typically this has been done by creating customized applications to support single functions in various offices with little coordination or centralization of solutions. In addition to security concerns, such actions are unsustainable in the long term. NWC is creating methods for incorporating such requirements within the larger College system. It will require more robust web resources including a new digital resource repository and a robust search solution that presents results on subjects of interest based on the user's credentialed access and need to know.

## **Projection**

### **Network Resources**

Future resources include taking advantage of additional cloud services such as: Infrastructure as a Service (providing servers, systems and networking) in a virtual "Data/Communications Center" hosted in the cloud for unclassified, non-sensitive data and applications. Examples may include the public website and "lab/open" desktops as a service both for distance students and those working from home. All students, whether resident or non-resident, should have access to all the same academic resources and support services required to facilitate the successful completion of their academic endeavors.

To sustain and improve future capacity in network resources, NWC has taken two major steps. First, to preserve life-cycle maintenance in these financially uncertain times the College is requesting a dedicated funding stream for the purchase and replacement of information services equipment. Previously, NWC has used general fund monies (O&M,N funds) for these requirements. If approved during the POM-17 budgeting process, there will be added protection to such funding, rather than relying on the understanding of the leadership in place.

A second major undertaking involved a nearly two year process of study by a faculty and staff committee into the best practices of other educational institutions in order to forge a way ahead for NWC in terms of information resources. A year ago, following the committee's recommendations, the College requested and received the necessary funding to purchase the equipment required to field this more robust and responsive information system. Funding totaling about two million dollars will be received in fiscal years 2015 and 2016. Plans are to have the initial system in place by early 2017 with full operating capacity by 2019.

In terms of information resources personnel challenges, NWC is taking several actions. Negotiations are well advanced with the Navy Staff and the Department of the Navy staff to delegate authorizations for travel and conferences so the process is more responsive and regular. With the uncertainty of the financial outlook, NWC's leadership plans to conduct a comprehensive examination of its human resources and to develop a flexible strategy to navigate the likely challenges ahead. Contractor mix and the quantity of permanent staffing, especially information resources staffing, will be key elements of this endeavor.

## **Current and Future Mission Support**

Close collaboration between the personnel of the College's library and information resources resulted in a design for the new NWC Learning Commons now under construction. This project's goal is to create an innovative, welcoming space to foster and enhance collaboration, teaching, learning, research, and curricular development. This space will contain all the technological resources required and deployed around campus. With a private welcoming space, faculty will be able to meet with technology experts and instructional designers to enhance curriculum and modernize delivery methods for the changing requirements.

NWC will continue to search for bigger, better, faster, and more cost effective solutions to our mission requirements which also meet reasonable security requirements. Systems such as lecture capture may be integrated into the learning management system along with other pedagogical tools and a more robust use of the IPTV system. Another future project includes the installation of a search solution as part of the new web based knowledge management system.

Sustainment of the NHEITC collaborative and governance structure to sustain the .edu network is critical for future success. NWC leadership will continue to monitor the network accreditation process to ensure the current arrangement continues to meet mission needs. Together the three educational institutions can assess the capacity of the next generation of Navy-wide information systems, which is the second major challenge to the .edu regime, to meet educational mission requirements. Clearly, sustainment of the .edu regime will be questioned. If these institutions can agree on a mutual assessment, then there is an increased opportunity for a favorable decision and outcome by the Advanced Education Review Board.

During the committee's review of NWC information resources, they concluded that technology was approached by many leaders, faculty, and staff as a utilitarian service rather than a strategic partner and an institutional enabler. More than simply a change in perspective, this requires a change in the NWC culture if the College is to realize the full potential of modern information resources in the educational arena. Clearly, the passage of time will assist with the cultural maturation. However, the change will also require more capability in terms of equipment, expertise, and organization to foster an agile environment of change. The new Learning Commons and the new knowledge network will begin the process. NWC leadership has deliberately included the Chief Information Officer in its senior leader meetings and deliberations.

In the decade ahead, the millennium and post-millennium generations will become the future mid-career officers who are NWC students. They will be different. They will be visual learners, multi-threaded thinkers, and will have used and integrated technology into almost every aspect of their lives. This presents both a challenge and an opportunity. The challenge is to be prepared, to align resources into the future so as to support these students and the new learning environment that the Navy will be driven to develop. Perhaps blended learning, more on-line learning, both synchronous and asynchronous and the integration of technology into the curriculum will be the correct answer for these future demands (depending on the needs of the Navy). The more significant challenge is to make sure that the faculty and staff are prepared and supported to deliver the curriculum in this new evolving environment.

## Standard 8: Physical and Technological Resources

Campus location	Serviceable Buildings	Assignable Square Feet (000)
Main campus	16	557
Other U.S. locations		
International locations		

	3 Years Prior	2 Years Prior	1 Year Prior	Current Year*	Next Year Forward (goal)
	AY 2011-12	AY 2012-13	AY 2013-14	AY 2014-15	AY 2015-16
<b>Revenue (\$000)</b>					
Capital appropriations (public institutions)					
Operating budget	\$374	\$545	\$570	\$536	\$550
Gifts and grants					
Debt					
<b>TOTAL</b>	\$374	\$545	\$570	\$536	\$550
<b>Expenditures (\$000)</b>					
New Construction				\$12,400	
Renovations, maintenance and equipment	\$9,500	\$9,300	\$3,700	\$6,200	\$6,000
Technology					
<b>TOTAL</b>	\$9,500	\$9,300	\$3,700	\$18,600	\$6,000

Assignable square feet (000)	Main campus	Off-campus	Total
Classroom	88		88
Laboratory	102		102
Office	66		66
Study	37		37
Special	142		142
General	18		18
Support	82		82
Residential	0		0
Other	22		22

### Major new buildings, past 10 years (add rows as needed)

Building name	Purpose(s)	Assignable Square Feet (000)	Cost (000)	Year

### New buildings, planned for next 5 years (add rows as needed)

Building name	Purpose(s)	Assignable Square Feet	Cost (000)	Year
P-479 Ethics	Classroom, Offices, Study	85,000	\$ 48M	2017

### Major Renovations, past 10 years (add rows as needed)

The list below includes renovations costing \$\_\_\_\_\_ or more

Building name	Purpose(s)	Assignable Square Feet	Cost (000)	Year
Connolly	Repair Roof & Chiller		\$970	2005
Pringle	Repair Dormers		\$480	2006
Hewitt	Install 4 classrooms		\$570	2006
Founders	Replace Roof		\$400	2007
Mahan	AC Upgrade		\$950	2007
Evans	Renovate		\$3,200	2007
Luce	Repair exterior		\$3,100	2007
MLH	Upgrade HVAC Controls		\$550	2007
Evans	MOC-T Installation		\$3,100	2008
Evans	Provide chiller addition		\$580	2008

Spruance	Renoate/Repair Auditorium	\$6,800	2008
Spruance	Repair interior	\$6,300	2008
All	Install central chiller plant	\$2,300	2008
Hewitt	Repair electrical	\$560	2008
Evans	Replace Roof	\$400	2009
All	Construct parking lots	\$562	2009
MLH	Roof repair	\$1,800	2010
Founders	Porch repairs	\$500	2010
Pringle	Repairs	\$5,800	2011
Hewitt	Exterior & mech repairs	\$2,700	2011
Tomich	Renovation	\$5,200	2011
Colbert Plasa	Repair	\$3,887	2012
Hewitt	Roof & exterior repairs	\$1,024	2012
MLH	Recaulk exterior	\$633	2012
All	Upgrade electrical 683,686	\$855	2012
Schonland	Exterior repairs	\$711	2012
Whse 13	Museum Storage	\$608	2013
All	Install fiber optic cable	\$377	2013
All	Paving	\$272	2013
Sims	Exterior repairs	\$896	2014
Luce	Basement repairs	\$3,457	2014
Sims	Miscellaneous	\$570	2014
Deweldon	Utility removal	\$350	20214
Founders	Repair porch	\$350	2014
Hewitt	Repair Learning Common	\$12,400	2014

**Renovations planned for next 5 years (add rows as needed)**

The list below includes renovations costing \$ \_\_\_\_\_ or more

Building name	Purpose(s)	Assignable Square Feet	Cost (000)	Year
Evans	AHU Replacement		\$650	2015
683/686	Sprinkler Repair		\$700	2015
MLH	Server Room Mods		\$1,500	2015
Connolly/Spruance	Recaulk		\$900	2015
Schonland	Repair HVAC		\$200	2015
Founders	Improvements		\$2,000	2016
Brett	Repairs		\$4,500	2017
Mahan	Repairs		\$7,700	2018
Connolly	Repairs		\$25,400	2019

Analyze the role and perspective of the combatant commander and staff in developing various theater policies, strategies, and plans to combat nuclear weapons in a wide range of cases.

\*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

## **Chapter 9 - Financial Resources**

Resource-allocation decisions for the next budget year are determined each year by the President and Provost of the College on the basis of a prioritization of its assigned mission, functions and tasks, and available funding. The College's Deans advise the Provost and the President on matters of resource allocation and prioritization. The College's primary source of funding is congressional appropriations, either directly allocated to the College by the Department of the Navy (DON) or through transfers of funds from other Department of Defense (DoD) or U.S. Government sources. A secondary source of funding comes from private (non-governmental) sources received through annual gift donations from the Naval War College Foundation<sup>1</sup> and through the allocation of funds received for educating international military personnel. In addition, state and local governments infrequently reimburse the War College for the performance of specific tasks on their behalf.

The DoD Planning, Programming, Budgeting and Execution System (PPBES) is the financial process which the College competes for and acquires Congressionally appropriated funds that are allocated through DoD and DON. The College manages and allocates these financial resources in accordance with the long range financial plan, the budget execution plan, the College's strategic plan, and the President's priorities. Funds are allocated to mission areas and assigned to the Deans for execution. The mission functional areas (Academics, CNWS, COSL, International Programs, NLEC, etc.) are further broken into individual departments and execution responsibilities are sub-allocated to a structure of Mission Resource Managers (MRMs) that execute and track funds to support the College's operations. MRMs are members of the staff and faculty who obligate and expend funds at the divisional and departmental level in accordance with the aforementioned priorities.

The College's Comptroller, Staff Judge Advocate, Contracting Officer and Human Resource Office provide technical and staff assistance, guidance and training to the MRMs. Specifically, the College's Financial (Comptroller) Staff has the overall responsibility of budgeting, recording, reconciling and accounting for the financial obligations and expenditures of the College. The Contracting Office supports the College's mission by providing contracting vehicles to procure goods and services. The Human Resources Office also supports the College missions through the solicitation and hiring of civilian personnel, and handling HR issues. The Staff Judge Advocate provides the command with legal and ethics advice.

### **Description**

#### **Organization and Financial Governance**

Financial management and oversight within the Department of Defense operates

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<sup>1</sup> The NWC Foundation was established in 1969 to further the College's education and research functions.

on a layered system of checks and balances that literally emanates from the President of the United States, through the Office of Management and Budget (OMB), down to the individual military command, the Naval War College. OMB has developed Circulars to outline the Administration's policies regarding execution within the Executive Department. For financial management internal control, OMB Circular A-123 defines federal agencies management responsibility for internal controls and implements the Federal Managers' Financial Integrity Act of 1982.

The next tier of financial oversight is the Department of Defense. The principal DoD financial policy guidance has been codified in the DoD Financial Management Regulations, which provide the basic guidance for the Defense Department on how to obligate and expend the annual funds using a myriad of appropriations, military programs, investment and development projects. This complex financial policy is executed through integrated agency accounting and financial management systems, including financial reporting and internal controls.

The Chief of Naval Operations (CNO) reports to the Secretary of the Navy, who has established the Assistant Secretary of the Navy (Financial Management & Comptroller), ASN (FM&C), office to direct and manage the financial activities of the Department of the Navy. This oversight includes the Naval PPBE system and allocation of financial resources within Navy. ASN (FM&C) also provides for the development of the Navy's financial management work force and provides Navy activities with financial oversight, policy and audit readiness programs.

Finally, the President of the NWC reports directly to the Chief of Naval Operations for mission accomplishment, broad policy guidance and governance. The CNO delegates the management and oversight of the PPBES to the Deputy CNO (DCNO) for Resources, Requirements and Assessments. The DCNO requires that a "sponsor" and "budget submitting office" act as advocates for commands, such as the Naval War College, that compete for resources within the PPBE process. In this regard, the CNO has assigned the Resource Management Division in the office of the Deputy Chief of Naval Operations (Manpower, Personnel, Training & Education) as the College's Resource Sponsor for the College's operating funds, and the Bureau of Naval Personnel (BUPERS) as the Budget Submitting Office (BSO).

### **The Naval War College President's Guidance**

NWC President's guidance to the College's leadership on how NWC will approach all resource issues is to:

- Live within our means.
- Where there is a legitimate requirement for additional financial resources, develop it in detail and pursue it aggressively.
- Challenge every assumption.
- Continue to develop the mission-based resource process.
- Develop data to inform trade-offs.



- Assess the risk involved in these trade-offs.
- Better understand the costs of opportunities that come with these trade-offs.
- Merge repetitive, redundant efforts and weed out superfluous ones.
- Execute the Strategic Plan that includes strategic financial planning, executable contract strategy, human capital strategy that maximizes the intellectual capital of NWC and an information technology strategic plan to sustain our IT advantage.

### **Financial Planning Through the DoD Financial Process (PPBES)**

Each year and as required by US Code Title 10, section 221a, NWC develops and submits an input to DoD's Future-Years Defense Program (FYDP) reflecting the estimated expenditures and proposed appropriations included in the DoD portion of the President's Budget. The FYDP allows a "crosswalk" between DoD's internal system of accounting via 11 major programs and Congressional appropriations. The FYDP is updated twice: once during a Planning, Programming, Budgeting and Execution (PPBE) Process cycle and a second time during the submission of the President's Budget (PB). Within this DoD system, the backbone of the PPBES process includes the development of a plan, a program and, finally, a budget for the College.

The DoD PPBES is tied to the College's mission, functions and tasks through an annual Navy Staff requirements review. NWC establishes bottom-up program requirements which validate and define the financial resource requirements of each of its Major Functional Programs (MFP) and its strategic plan. For example, in the area of MFP 1 (Professional Military Education), NWC develops financial requirements (faculty salaries, textbooks, publications, copyright, etc.) based upon the anticipated student loading in its resident and non-resident PME/JPME programs. Similarly, the College defines its financial requirements for each of its MFPs: MFP II (Research, analysis and gaming); MFP III (Support Combat Readiness); MFP IV (Strengthen Maritime Security Cooperation); and MFP V (Command and Mission Support).

Under the two-year PPBES cycle, the leadership of the College assesses its requirements in the context of its *USNWC Strategic Plan*; establishes and/or reviews the programs that satisfy those requirements; costs those programs; prioritizes them; and, then submits the request for the required resources to its Budget Submitting Office (BSO). To accomplish this, the College begins with a strategic and financial analysis of its mission, functions and tasks; extrapolates requirements; and, then programs and budgets both funded and unfunded requirements, from a seven-to-eight-year perspective.

### **Programming**

The planning, programming, budgeting and execution phases of the PPBE process primarily focus on funding levels for the last five years in the plan; the execution phase focuses on the current and following year. From May until August, NWC participates in this execution review by submitting President Budget exhibits and specific issue requirements to its BSO and Resource Sponsor. The result is an allocation of specific funding levels available for execution by the College in the next fiscal year and budget

inputs for the next President's Budget submission to Congress.

## **Budget**

The annual mission, function and tasks program review is used as the basis of both annual budget allocations for the next two years and longer-range plans. Long-range initiatives are formulated through the Program Objective Memorandum (POM), through which future initiatives are reviewed and, if approved, incorporated into Defense Department budget planning. Approved POM issues become requirements for which the College and Total Force budget in the appropriate fiscal year (FY).

In their respective role as BSO and Resource Sponsor, the DCNO – Manpower, Personnel, Training & Education, reviews the College's financial requirements and, based on the Navy's priorities, allocates funding as part of the DON's budget submissions. While the College's Resource Sponsor assesses the full range of education requirements for the Navy, the College conducts and provides its own assessment and identifies its requirements for inclusion into a comprehensive POM review during the fall and early winter months.

Another internal Navy governing board, the Advanced Education and Review Board (AERB) provides a forum for the Navy's education institutions to have a direct voice in raising issues to senior leadership. This board is chaired by the Vice Chief of Naval Operations and meets periodically to review the status (including financial) of NWC, Naval Postgraduate School, and the US Naval Academy.

The College exists in a financial environment where articulated requirements exceed available resources. Resource-allocation decisions are made by the President and Provost to maximize use of the resources, prioritizing mission, functions and tasks. Unlike many private education counterparts, funding resources are constrained by the Congressional appropriation process, and, actual uses of these funds are further governed by the Congressional authorization process that limits the uses of funding to specific types of appropriated funding and projects. Attempts to use these funds for other purposes are actual violations of law. Within the College, the Comptroller advises the President and Provost on the appropriate uses and limitations of funding, based on applicable laws, regulations and policies.

## **Financial Execution**

The President is responsible for the oversight of the financial execution of each of the College's MFPs. Again, a team comprised of the Provost, College Deans and Comptroller act as principal resources to assist the President in ensuring all missions are successful. Responsibility for submitting financial requirements and monitoring budget execution is assigned as a primary responsibility of the various department chairs and division directors. A Mission Resource Manager (MRM) is designated for each department to assist them in executing this responsibility. The MRM executes current funds and monitors and tracks expenditure during the execution year or applicable time

period. MRMs also help in determining future budget requirements. MRMs are assisted in these duties by the Comptroller, Staff Judge Advocate, Procurement Officer and Human Resource Office. Tailored monthly financial reports are provided to each MRM, each department chair, the respective Deans, the Deputy/Chief of Staff, the Provost, and the President.

Many of the mission areas within the College are mutually supporting and therefore rely upon interdepartmental coordination for success. For example, the education for the international officers, while sponsored by the Dean of International Programs, relies upon the Dean of Academic Affairs to provide their education in residence. Course curricula, required supporting books and articles for the international officers are provided by the Academic Department. In turn, the required war games for U.S. students are supported by CNWS, the war gaming and research department. These shared mission responsibilities of the Departments engender synergy and interoperability.

### **Financial Internal Controls**

As stated earlier, Circular A-123 forms the cornerstone document for meeting the existing Federal requirements to improve internal control for the federal government. DoD's Manager's Internal Control Program (MICP) serves as an overarching program under which DoD complies with a host of laws and regulatory requirements. To ensure compliance, DoD has established the Financial Improvement and Audit Readiness (FIAR) program to ensure financial accountability and reporting accuracy. DON has been aggressively pursuing the review and external auditing of Navy activities' internal controls to ensure each command, and therefore the Navy, is ready to be audited to support a clean certified financial statement.

NWC's internal financial controls support these efforts by leveraging existing DoD and Navy financial controls embedded in standard systems. Additionally the College has developed an aggressive Management Internal Control (MIC) program that ensures continuous internal review and audit for financial and operational accountability. Financial and operational processes are flowcharted, potential weaknesses are identified and a review plan is implemented for each process' critical point. Additionally, external reviews are also provided by Navy organizations. In 2012 the College requested and received a Naval Audit Service review of some of the high visibility accounts (Gift Funds, International Field Studies Program, Latin America Cooperation Funds and Conference Funds) to determine if the programs were operating with sufficient internal controls. The College received positive findings from this review. Additionally, in 2013 the College was reviewed by the Naval Inspector General's Office.

NWC utilizes over twelve types of funds to resource its operations: up to five types of appropriated funds; four DoD special funds; various reimbursable funds from other DoD and government agencies; gifts to the Navy (primarily from the Naval War College Foundation); and International Military Education & Training (IMET) funds derived from both State Department IMET funding and Foreign Military Sales (FMS). Some professors also receive academic and research grants from public and private organizations.

## **Appropriated Funds**

### ***Operations and Maintenance, Navy (O&M, N)***

These funds are authorized and appropriated by the Congress to support all of the education and mission support operations of the College and some of its research, analysis and gaming operations. This category of funds also pays for the salaries and benefits of the College's civilian personnel.

### ***Military Personnel, Navy (MPN)***

These funds are authorized and appropriated by the Congress to pay for salaries and allowances of U.S. military faculty, staff, and student personnel assigned to the College. NWC receives the benefit of these funds but is not responsible for their planning, programming, budgeting or execution.

### ***Research, Development Test and Evaluation (RDT&E)***

RDT&E, N is the normal source of funding for the research, analysis and gaming activities of the College. These funds are received by the Comptroller's office and then allocated to the department that performs the associated project. RDT&E funding provides venues for the College to conduct mission-related, selected research in Navy and DoD operational and strategic requirements. Research projects include applied and otherwise relevant analytical options for research and academic faculty, specialized student projects, and the bulk of the College's war-gaming activity. This level of funding has satisfactorily supported the College's research, analysis and gaming function.

### ***Other Procurement, Navy (OPN)***

These funds are authorized and appropriated by the Congress for purchases of large equipment and turnkey systems over \$250,000. The College received Other Procurement, Navy (OPN) monies in FY09 in conjunction with the opening of Evans Hall and in 2000 for recapitalization of IT equipment for Y2K.

### ***Special Funds***

The College receives specialized funding for specific programs, such as the Navy's Latin America (LATAM) program, Official Representation Funds (ORF), etc. Execution for these funds is consistent with all other College financial programs. MRMs initiate financial obligations and validate expenditures; monthly reports from the Comptroller's office keep MRMs abreast of funding balances and expenditure information.

### ***Reimbursable Funds***

In 2014, the College received a significant amount of RDT&E funding as a reimbursable document directly from the Office of Secretary of Defense for specific research projects. It also received reimbursables to fund other O&M,N and RDTE projects from various activities within DoD and the Navy. In recent years NWC has received funding from OSD for research in strategic and operational issues.

## **Non-Appropriated Funds**

### ***International Officer Programs***

To support the international student education mission, NWC receives a mix of funding from the Foreign Military Sales (FMS) and State Department International Military Education and Training (IMET) program funding. Both types of funds are administered through the Navy by the Naval Education and Training Security Assistance Field Activity (NETSAFA) and the Navy International Program Office NIPO). The College receives two separate types of reimbursable documents for its international programs: International Officer Course Earnings (IOCE) and Field Studies Program (FSP) funds. IOCE funds the academic and support functions of the Professional Military Education portion of the College's international programs. FSP funds are unique, used specifically for the purpose of educating international officers in the culture and values of a democratic society. The College's FSP funding is administered through the MRM of the Naval Command College and Naval Staff College

### **Gift Funds**

The College is also supported by a non-profit, private organization, the Naval War College Foundation. Annually, the Foundation provides gifts of funding to the Navy on behalf of the Naval War College. The College requests authority to accept these gifts from OPNAV and the Secretary of the Navy; with their approval, the Foundation writes the College specific gift checks for designated projects. These checks are forwarded to the Administrative Assistant of the Under Secretary of the Navy, who deposits them in an account for the College's use. The College's financial administration of these projects is the same as for other accounts: MRMs obligate funds to accomplish the intent of the gift, and monthly reports generated by the Comptroller's office detail obligations and the expenditure of funds. Gift funds are unique in that they do not fall under the purview of the Defense Federal Acquisition Regulation Supplement (DFARS); MRMs act as contracting officers to carry out the intent of the Foundation.

### **CRADA Funds**

At times, the College conducts research, analysis and gaming activities collaboratively with non-Federal-government activities. Financial reimbursement for these projects is received through Cooperative Research and Development Agreements (CRADAs). CRADAs allow the College to receive nongovernmental funds to explore avenues of research that benefit both the Federal government and the private or state or local government entity.<sup>2</sup> These programs are administered like other reimbursable funding. MRMs administer the expenditure of funds. However, monthly reports are not usually required due to the short-term nature of the cooperative agreements; rather, status is reported when the project is complete.

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<sup>2</sup> CRADA is an agreement between a federal laboratory and one or more nonfederal parties under which the federal laboratory provides personnel, services, facilities, equipment, or other resources (but not funds), with or without reimbursement.

## APPRAISAL

### The External Process Reviews

The Navy, through the Advanced Education Review Board, oversees its interest in advanced education offered by its graduate level institutions – the Naval War College and the Naval Postgraduate School. The Navy's leadership is seeking accountability for and a clear return on investment of the funds it expends to educate its enlisted Sailors and the officer corps.

The PPBES, in particular in the programming and budgeting cycles, is one system of external review. It provides a formal, systematic structure that is well-organized with appropriate control mechanisms and timely financial reporting requirements. This process assists the College's leadership in making sound decisions that link mission-driven, financial resource requirements to specific DON programs. The process' legal and policy requirements produce a strong foundation of control and accountability. NWC leaders fully understand resource funding and management risk. Processes are in place to mitigate that risk while sustaining the quality of education.

However, the PPBES operates by incrementally funding programs and incrementally reducing programs to pay common bills and taxes. In effect, the PPBES operates on the margin, annually adding or taking funds away from a baseline figure. Moreover, NWC competes for its share of the Navy's annual appropriations. Thus year-to-year stability is not one of the strengths of PPBES. Furthermore, it does not link non-appropriated and appropriated funding. For example, the College receives funds to support the attendance of international officers. These funds are provided from FMS and IMET receipts on the basis of student numbers, with varying rates of reimbursement based on country-of-origin. Because the actual amount received fluctuates depending upon the countries represented in an incoming class, it is impossible to forecast these rates and the funds generated by them precisely during the PPBES cycle. This creates uncertainty and introduces a pre-determined element of risk in the College's planning and financial management process. Therefore, the College must plan using conservative metrics, clear priorities, and an acute sense of risk.

A second source of external reviews is Navy-generated audits and assessments. In August 2013 the Naval Inspector General's office determined that the College's financial processes were reasonable and effective, and that a management control program was executed through a system of management reviews, audits, and assessments of routine management information. The previously mentioned on-site visit by the Naval Audit Service is another example of external review. Finally, the Chairman, Joint Chiefs of Staff accredits the Naval War College for joint professional military education; the two on-site accreditation reviews in 2009 included an examination of the funding for those programs.

## The Internal Process

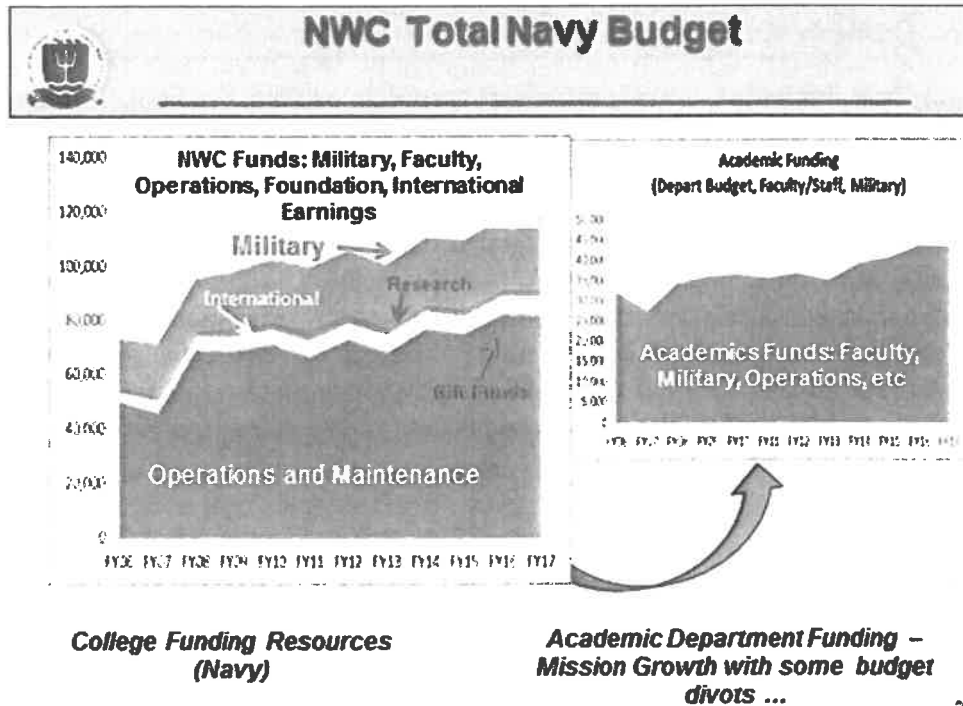
The College's internal financial resources management process provides meaningful information to its executive leadership to support informed financial management of the NWC's operations. NWC leadership believes that linking the College's mission, functions and tasks closer to its financial planning and execution will be critical to future mission success.

In 2006, the College began refining and improving its financial processes by incorporating activity-based cost management into its internal financial management process. A new set of metrics for business decisions regarding education and research will allow more meaningful comparisons than routine per-student cost and highlight shifts in funding that would enhance productivity over the long term. The initial phase of the process was completed in Fiscal Year 2009. The College is now undertaking follow-on work, which allows the activity-based costing to be incorporated into the PPBES model.

NWC understands that overemphasis on unit-of-production metrics or cost-saving measures can put educational effectiveness at risk and recognizes the need to balance the functional-based costing process with quality indicators on a case-by-case basis.

## Financial Resources

The overall financial health of the College has improved over the last decade. The chart below depicts the budget growth since fiscal year 2006.



Responding to Navy-driven requirements, NWC has experienced significant mission growth, especially in terms of operational level of war education and enlisted Sailor professional military education. Additional funding supports NWC's execution of those new mission tasks. Likewise, the increased emphasis on PME/JPME by the last three CNOs, and the high opinion of the value of education from the current CNO, has positively affected NWC funding. Additionally, the College's efforts to add rigor and discipline to its submission to the PPBES and the strengthening of the linkage of mission, functions, and tasks to the resourcing and budgeting processes has helped.

Thrice in the last five years, however, NWC has had to operate on fewer resources than originally planned. In POM-10 the Naval War College only received \$2.8M of O&M,N reductions affecting several key educational programs during fiscal year 2010. In fiscal year 2011, the decrement of \$1.3 million required the leadership to reassess mission priorities and reallocate resources in order to meet mission-critical requirements. Ultimately, travel for the faculty and staff was severely curtailed and NWC was forced to suspend its individually-focused faculty development program. The President successfully sought relief from the Navy's Advanced Education Review Board; there the Vice Chief of Naval Operations directed NWC's resource sponsor to provide additional resources to preclude further degradation of the NWC mission. Additionally, NWC's funding baseline was restored for fiscal year 2012, thereby permitting accomplishment of the full array of mission tasks.

In fiscal year 2013, NWC's funding was diminished as a result of the Continuing Resolution, furlough, and Congressionally-mandated sequestration. Again the Deans, working with the College's leadership, reassessed mission priorities and recommended reallocation of resources to mission-critical activities while taking a number of cost-saving measures. Quarterly throughout the fiscal year, the Deans reassessed mission priorities and the College's leadership adjusted funding accordingly. For fiscal year 2013, faculty and staff travel was limited to mission-critical activities which suspended much of the individual faculty development program. However, a portion of that developmental program was resourced through gift funding.

Fiscal years 2011 and 2013 demonstrated the College retained its agility to respond to resourcing constraints in a disciplined, orderly manner, properly weighing risks and prudently prioritizing its mission efforts. In both years, the education mission tasks were largely protected except for faculty travel related to curricula and professional development, and major book purchases. With further uncertainty looming for fiscal year 2016 and beyond, the College has a proven process to assess and reallocate resources to meet major mission tasks.

#### ***Execution Year 2014***

In FY14 the College has been funded with \$71M of directly allocated O&M,N funds and \$5.3M of RDT&E funds (these amounts have increased by \$11M from FY13). The College was programmed to receive an additional \$5.3M from international IOCE funds; \$185K in Official Representation Funding; \$1.2M for International Military



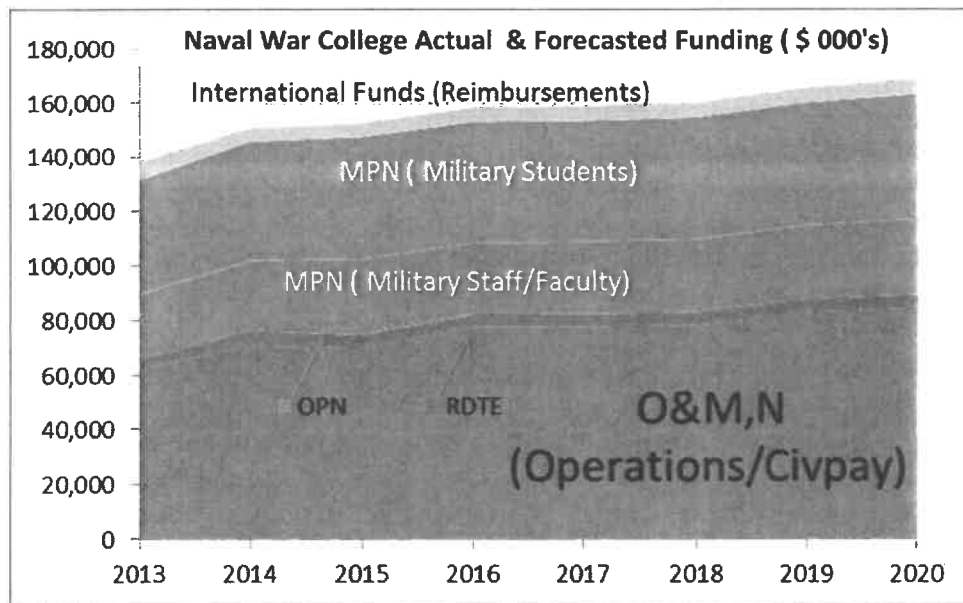
Education and Training infrastructure funding and over \$1.0M for the Field Studies Program. The College and SECNAV have also acknowledged the Naval War College Foundation provided \$0.9M in calendar year 2014 gifts. Fiscal year funding sufficed for execution of the NWC mission and tasks.

***FYDP Outyears: 2015-2020***

O&M,N funding for fiscal year 2015 nearly matches funding for fiscal year 2014. Additionally, NWC received nearly \$1.7 million in additional end-of year funding during FY 2014 which permitted advanced spending for some FY 2015 requirements. Most likely, DoD will be operating on a Continuing Resolution, which creates some challenges in the timing of funding. However, the financial outlook beyond fiscal year 2015 is more cautious due to potential adverse effects of impending sequestration. Unless Congress acts, DoD faces significant, automatic cuts which will trickle down to all activities.

To be prudent, NWC leadership has developed alternative financial strategies and varying financial options if DoD and the Navy are forced to absorb significant additional reductions in their budgetary authority. However, the current financial projection (shown in the chart below) is encouraging.

*The chart below provides a forecast of NWC funding as provided by DoD/DON. Not included is anticipated funding from the NWC Foundation or reimbursable funding outside of International Programs.*



***Mission Growth***

Starting in fiscal year 2008, the College received a significant growth in the O&M,N account, as the specific result of funding actions in two areas. First is the expansion of the Navy PME/JPME programs. This area includes the increasing JPME I

throughput, the development of the JPME II program, and the development of the Navy enlisted and officer Primary PME/JPME programs. Second is the development of Maritime Operations Centers (MOC) initiatives, specifically flag level JFMCC education, a Navy Advise and Assist Teams and Maritime Staff Officers Course (MSOC). Navy funding decisions in POM-08 and Program Review-09 have augmented programmed funding for both of these areas. During the POM-16, accomplished earlier this year, DON decided to increase the Navy's commitment to senior enlisted education by expanding the Senior Enlisted Academy to 1,200 students annually. Additionally, in 2014, the Navy leadership has also strengthened its commitment to Navy leadership and ethics education by establishing the Naval Leadership and Ethics Center (NLEC), an Echelon III command, at the Naval War College. In POM-16 the Navy has invested an additional \$5.6M annually for the programs demonstrating a serious intention to invest in the future of Navy leadership through education.

## **Projection**

### **Future Challenges for Program Growth Requirements**

The key requirement for NWC is to get military construction funding programmed for a new building, P479. Additional space is required to accommodate the latest mission growth in leadership and ethics, build further capability to address emerging challenges in cyber and irregular warfare, and fully meet classroom requirements. Otherwise, the Naval War College's financial resources outlook is optimistic but cautious over the next five to seven years. The Secretary of Defense, the Chairman of the Joint Staff and the Chief of Naval Operations all emphasize building agile, adaptive, innovative leaders steeped in the shared values of the profession of arms; each has formally recognized the critical role professional education has in developing the future strategic leaders required in the contemporary environment. However, cuts driven by future sequestration will require a significant reordering of defense priorities at the national level. While there is sound reason to believe professional education institutions will not be targeted, there is no reason to believe NWC and its sister PME colleges will be exempted

Therefore, the College is committed to enhancing the College's internal financial resources management process and capability. As internal initiatives, such as using information technologies to leverage learning, bring greater agility to financial resources, the College has every reason to believe that it will build on a sound foundation of control and accountability led by a strong, knowledgeable executive leadership team with substantial practical experience in the DoD and DON PPBES process. The steps to identify costs and cost drivers more clearly, eliminate inefficiency, reduce redundancy, determine what output levels should be, and eliminate any unnecessary programs or activities, show promise. The challenge will be to identify meaningful metrics to assist the leadership in making informed tradeoffs in the context of scarcity and understanding the risk associated with them.

## **Financial Summary**

As the Navy's sole agent for intermediate-level and senior-level Professional Military Education (PME) and JPME Phase I and II, as well as the sole provider of operational level of war education, the College directly benefits from executing these mandated mission tasks with consistent quality products. Given the College's positional responsibility, as driven by Congressional and CJCS mandates for PME/JPME education and the Navy leadership's requirements for a robust and relevant research, analysis and gaming capability, the College's core mission functions all serve a Naval and national purpose and will continue to do so in this dynamic international security environment. Those core missions should provide for some relative financial stability. However, the leadership of the College fully understands the financial challenges facing the DoD and is preparing measures to ensure strong fiscal discipline to ensure maximum value is realized for funds received to operate the College.

**Standard 9: Financial Resources**  
**(Statement of Financial Position/Statement of Net Assets)**

FISCAL YEAR ENDS month & day: ( 09 /30 )	2 Years Prior (FY 2012)	1 Year Prior (FY 2013)	Most Recent Year: July 2014	Percent Change	
				2 yrs-1 yr prior	1 yr-most recent
<b>SHORT TERM ASSETS</b>					
FUNDS WITH TREASURY: OPERATIONS & MAINTENANCE	\$11,843	\$11,507	\$27,695	-2.8%	140.7%
FUNDS WITH TREASURY: RESEARCH & DEVELOPMENT	\$129	\$402	\$3,684	211.6%	816.4%
FUNDS WITH TREASURY: GIFT FUNDS	\$0	\$0	\$209	-	-
<b>TOTAL TREASURY FUNDS</b>	<b>\$11,972</b>	<b>\$11,909</b>	<b>\$31,588</b>	<b>-0.5%</b>	<b>165.2%</b>
ACCOUNTS RECEIVABLE, NET: (O&MN)	\$99	\$453	\$532	357.6%	17.4%
ADVANCE & PREPAID: (O&MN)	\$13	\$9	\$19	-30.8%	111.1%
ACCOUNTS RECEIVABLE, NET: (RDT&E)				-	-
<b>OTHER SHORT-TERM ASSETS</b>	<b>\$112</b>	<b>\$462</b>	<b>\$551</b>	<b>312.5%</b>	<b>19.3%</b>
<b>LONG -TERM ASSETS</b>					
PROPERTY, PLANT AND EQUIPMENT (NOTE 1)	\$68,820	\$68,977	\$84,003	0.2%	21.8%
MINOR EQUIPMENT	\$10,647	\$12,226	\$13,804	14.8%	12.9%
<b>TOTAL LONG-TERM ASSETS</b>	<b>\$79,467</b>	<b>\$81,203</b>	<b>\$97,807</b>	<b>2.2%</b>	<b>20.4%</b>
<b>TOTAL ASSETS</b>	<b>\$91,151</b>	<b>\$93,574</b>	<b>\$129,946</b>	<b>2.7%</b>	<b>38.9%</b>
<b>LIABILITIES</b>					
ACCOUNTS PAYABLE (O&MN)	\$620	\$1,524	\$1,183	145.8%	-22.4%
ACCOUNTS PAYABLE: PAY & BENEFITS (O&MN)	\$4,233	\$4,565	\$3,483	7.8%	-23.7%
ACCRUED LIABILITIES (O&MN)				-	-
UNEARNED REVENUE: (O&MN)	\$0	\$1,953	\$716	-	-63.3%
ACCOUNTS PAYABLE: (RDT&E)	\$46	\$5	\$347	-89.1%	6840.0%
				-	-
				-	-
<b>TOTAL LIABILITIES</b>	<b>\$4,899</b>	<b>\$8,047</b>	<b>\$5,729</b>	<b>64.3%</b>	<b>-28.8%</b>
<b>NET ASSETS</b>					
<b>UNRESTRICTED NET ASSETS</b>					
INSTITUTIONAL	\$7,073	\$3,862	\$25,650	-45.4%	564.2%
FOUNDATION: UNRESTRICTED GIFTS IN TREASURY			\$176	-	-
<b>TOTAL</b>	<b>\$7,073</b>	<b>\$3,862</b>	<b>\$25,826</b>	<b>-45.4%</b>	<b>568.7%</b>
<b>TEMPORARILY RESTRICTED NET ASSETS</b>					
INSTITUTIONAL - A/R	\$112	\$462	\$551	312.5%	19.3%
<b>TOTAL</b>	<b>\$112</b>	<b>\$462</b>	<b>\$551</b>	<b>312.5%</b>	<b>19.3%</b>
<b>PERMANENTLY RESTRICTED NET ASSETS</b>					
INSTITUTIONAL - PP&E	\$79,467	\$81,203	\$97,807	2.2%	20.4%
FOUNDATION - RESTRICTED GIFTS IN TREASURY			\$33	-	-
<b>TOTAL</b>	<b>\$79,467</b>	<b>\$81,203</b>	<b>\$97,840</b>	<b>2.2%</b>	<b>20.5%</b>
<b>TOTAL NET ASSETS</b>	<b>\$86,652</b>	<b>\$85,527</b>	<b>\$124,217</b>	<b>-1.3%</b>	<b>45.2%</b>
<b>TOTAL LIABILITIES AND NET ASSETS</b>	<b>\$91,551</b>	<b>\$93,574</b>	<b>\$129,946</b>	<b>2.2%</b>	<b>38.9%</b>



**Standard 9: Financial Resources  
(Statement of Debt)**

FISCAL YEAR ENDS month & day ( / )		3 Years Prior (AY 2011-12)	2 Years Prior (AY 2012-13)	Most Recently Completed Year (FY 2 )	Current Budget* (FY 2 )	Next Year Forward (FY 2 )
	<b>DEBT</b>					
	BEGINNING BALANCE					
	ADDITIONS					
	REDUCTIONS					
	ENDING BALANCE	\$0	\$0	\$0	\$0	\$0
	INTEREST PAID DURING FISCAL YEAR					
	CURRENT PORTION					
	<b>BOND RATING</b>					

**DEBT COVENANTS: (1) DESCRIBE INTEREST RATE, SCHEDULE, AND STRUCTURE OF PAYMENTS; and (2) INDICATE WHETHER THE DEBT COVENANTS ARE BEING MET.**

**LINE(S) OF CREDIT: LIST THE INSTITUTION'S LINE(S) OF CREDIT AND THEIR USES.**

**FUTURE BORROWING PLANS (PLEASE DESCRIBE)**

\*"Current Budget" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

**Standard 9: Financial Resources  
(Supplemental Data)**

FISCAL YEAR ENDS month & day ( / )		3 Years Prior (FY2 )	2 Years Prior (FY2 )	Most Recently Completed Year (FY 2 )	Current Budget* (FY 2 )	Next Year Forward (FY 2 )
<b>NET ASSETS</b>						
	NET ASSETS BEGINNING OF YEAR					
	TOTAL INCREASE/DECREASE IN NET ASSETS					
	NET ASSETS END OF YEAR	\$0	\$0	\$0	\$0	\$0
<b>FINANCIAL AID</b>						
	SOURCE OF FUNDS					
	UNRESTRICTED INSTITUTIONAL					
	FEDERAL, STATE & PRIVATE GRANTS					
	RESTRICTED FUNDS					
	TOTAL	\$0	\$0	\$0	\$0	\$0
	% DISCOUNT OF TUITION & FEES					
	% UNRESTRICTED DISCOUNT					
<b>PLEASE INDICATE YOUR INSTITUTION'S ENDOWMENT SPENDING POLICY:</b>						

\*"Current Budget" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

## Chapter 10 - Public Disclosure

### Description

Public disclosure at the Naval War College addresses both an external and an internal audience. The College provides a variety of materials to inform the interested general public and the national security community about the activities and programs at the College. These materials include pamphlets, electronic media such as DVD's, and electronic information available on the public website. Within the Navy, such materials are used to acquaint Navy commands and prospective students with the opportunities available at the College. This information is provided to the other military services so that those services may select their own best students for attendance. Since students in the NWC's resident programs are not recruited in the traditional manner of most colleges, information is tailored to heighten student interest in attending NWC, but does not contain traditional application procedures and cost information. The goal of the information is to help bring students with the highest potential for future leadership positions, in each of the services, together for a top-level professional education.

The College of Distance Education (CDE) also disseminates informational materials to explain the non-resident programs and to encourage individual applications by those who are unable to attend the resident programs. Internally, the intranet and a variety of official publications serve the staff, faculty and student populations.

### External Information, Publications, and Presentations

The College internet site is found at <http://www.usnwc.edu/> and provides informational links to the general public as well as government and military personnel. This is an official U.S. Navy website and contains links to other military commands as well as internal departments. Information links between the intranet and the internet make information on the internet available to personnel assigned to the College. The NWC also uses a commercial learning management system (Blackboard) for resident and non-resident students. Educational matter is posted through that system.

Rather than produce a printed course catalog (formerly known as the *Naval War College Catalog*), the College provides the same information through the NWC public website. This site provides information on the mission, goals, and objectives of the institution; describes the academic programs and their requirements; outlines the organization of the College; identifies the faculty and administrative personnel and their qualifications; and presents information on the student body and various aspects of student life.

The College of Distance Education provides information through pamphlets and the internet concerning the flexible, non-resident options which enable officers to gain the benefits of a NWC intermediate-level education while studying at an additional instructional location campus, the Naval Postgraduate School, or through the use of distance learning methodologies such as the Web course or CD-ROM course. All non-resident graduates earn Joint Professional Military Education (JPME) Phase I certification, Navy Professional Military Education credit, and the College of Naval Command and Staff diploma. Students in the non-resident program's



additional instructional location seminars earn up to 21 graduate credits and are eligible (upon submission of additional elective credits) to earn the Naval War College graduate degree. Information on the programs and application forms are available on the internet

A *Student Handbook* is available via the public website through the Dean of Students link (Students). It provides valuable information about the College for students and their families. The core curriculum syllabi are specific guides to the curriculum of each the three teaching departments (Strategy and Policy, National Security Affairs, and Joint Military Operations) for the College of Naval Warfare and the College of Naval Command and Staff. These documents describe the outcomes, objectives, organization, methodology, requirements, standards, and schedule for each of the six courses; they also provide information regarding faculty. The syllabi are published each year prior to the beginning of each course and are available to the public upon request. The core curriculum syllabi are available via the internet website. Also, the *Electives Program Course Listing* is available only via the internet. The website is updated each trimester with offerings for the next one. The program is described along with an overview of each individual elective.

Other means of addressing a different external audience are the *Naval War College Review*, the *Newport Papers*, and the student run online journal. These scholarly journals serve to maintain contact with the Navy, and alumni, as well as the national and international security communities. Sections such as "President's Forum" found in the *Review* keep readers up to date on developments at the College, and the scholarly excellence of the *Review* and the *Newport Papers* presents a very positive image of the institution to all readers. The *NWC Press* site is accessible through the public website; it contains (1) full text of all issues of the *Naval War College Review* since the Autumn 1996 issue, as well as online indices of articles, essays, and book reviews (from 2000); (2) listings and descriptions of the books published directly by the Press; (3) listings of the *Newport Papers*, with the more recent titles available in Acrobat and certain earlier titles available (in full or part) in html; and (4) reader services, contributors guidance, contact information, and a selection of color images that have appeared in the *Review*.

The College also produces, under the auspices of the Chairman, Joint Chiefs of Staff Process for Accreditation of Joint Education, a *Naval War College Self Study, Joint Professional Military Education* for both the "College of Naval Warfare" and the "College of Naval Command and Staff and College of Distance Education." Each presents a comprehensive evaluation of every aspect of Joint Military Education at the College. The latest editions are "College of Naval Warfare May 2009" and "College of Naval Command & Staff and College of Distance Education October 2009." These self-studies must be accomplished and published every six years to support NWC efforts to retain CJCS accreditation for joint professional military education. Through these publications NWC tries to demonstrate its success in meeting educational requirements expressed in the standards, learning areas, and learning objectives set by the Chairman of the Joint Chiefs of Staff.

The *1994 Naval War College Self Study* was updated by the *2004 Naval War College Self Study*. Both the *2004 Self Study* and the *2009 Fifth Year Report* provided a valuable source of information in preparation for the 2014 accreditation process. The *2004 Self Study* was widely

distributed throughout the College and to interested observers, and it is anticipated that the 2014 edition will be of similar utility.

Like any command within the Department of the Navy and the Department of Defense, the College is required to submit periodic reports to higher authorities concerning finances, student personnel, military staff and faculty, and other facility and administrative matters.

### **Internal Publications**

The intranet, available only on campus, provides a large amount of information. For example, it includes a "Directories" subheading that contains a list of all assigned personnel by name or by department. The ability to sort the information by name or organization facilitates access. The list includes name, rank, organization, room number, and email address. When a new student, faculty, or staff member reports for duty and requests an email account, the NWC Information Resources Department adds his/her information to the directory. A unique subsection of the "Directories" is the *NWC Databook*. This large electronic file includes photos and biographical data on the staff, faculty, and students. Each person's title, educational degrees, field of specialization, professional experiences, and publications are listed. It is updated when new students, faculty, or staff arrive or depart the college.

The College also serves the internal informational needs of its students, faculty, and staff through a variety of handbooks, guides and manuals. Among these publications are the following which deal primarily with the College's organization and operation.

The *U.S. Naval War College Strategic Plan, 2014-2018* provides the College's mission, vision, guiding principles in executing the mission, and guiding principles in the workplace. As the centerpiece of the College's strategic planning process, it identifies nine strategic goals, strengths, weaknesses, opportunities, and threats. The plan is available in printed format, but is also accessible through the NWC internet.

*The Faculty Handbook 2013* is a compilation of detailed information concerning: the institution's organization and governance (mission and administration, programs, research, wargaming, student activity, and boards, councils and committees); faculty (appointments, administrative policies, academic status, hiring, tenure, working conditions, salary and benefits); and students (admission policy, calendar, grading, advanced research, credit, and honor code).

The Naval War College Library produces student and faculty library guide pamphlets. Periodically, research compilations for useful topics are produced and distributed.

An electronic message is sent out weekly to all Naval War College personnel entitled the *Plan of the Week*. This message contains detailed planned happenings of the College in the coming week, and highlights activities recently completed. In addition, The Newport *Navalog*, a weekly NETC newspaper, contains articles of interest to the command as a whole as well as schedules of events and classified advertisements.

## Knowledge Initiative

The College leadership recognized the importance of knowledge and information management and created a committee with representatives from across the College to examine how we address these issues. The Knowledge Initiative Team created several products to showcase how information management can improve and streamline operations. Their website at <https://sites.google.com/a/usnwc.edu/knowledge-initiative/home> provides an overview of the committee and the initiatives they accomplished. The objectives of the team were: inform and shape policies; integrate enterprise knowledge activities; oversee the knowledge process; articulate, promote and justify the knowledge agenda; develop a knowledge framework that guides knowledge management; identify processes that facilitate organizational learning; capture new knowledge capabilities and best practices; facilitate coordination and communications; and encourage individual learning and innovative thinking.

Early in the process the committee conducted open focus group meetings with College personnel to determine their information management needs. The focus groups were useful to establishing buy-in across the NWC community. The minutes of these meetings are filed at <https://sites.google.com/a/usnwc.edu/knowledge-initiative/meetings/focus-group-meetings>.

The Knowledge Committee also developed the site *Spruance Connections* at <https://sites.google.com/a/usnwc.edu/spruanceconnections/>. The Spruance Connections Program was “intended to create an environment within which the products of scholarship and research can be exposed, discovered, and explored by members of the naval leadership community.” The site was developed to showcase scholarship and research being done at the College and to present these products to senior Navy leaders.

## Appraisal

The Naval War College produces a wide range of printed and electronic materials for both internal and external use, and the information is found to be comprehensive and accurate upon distribution. The task of describing to the public the NWC's mission, objectives, courses, faculty, and the respective obligations and responsibilities of the institution and its students, falls primarily to the information contained on the NWC internet and intranet. The NWC internet webpage provides easy access for the public. For the most part, the content of the webpages is current and accurate, but sustaining currency is an ongoing process for which NWC uses a dual approach depending first on the appropriate individual or organization. The College's public affairs office has the responsibility for ensuring NWC communicates accurately and forthrightly with the public, within the federal government and within the College.

First, it is the responsibility of the student, faculty, or staff member to provide the correct information for the directory. The Information Resources Department inputs the data electronically. It is important for the posting individuals to verify the data were correctly entered. Additions are generally done timely and fairly thoroughly. When individuals depart, deletions are accomplished, but to a lesser degree of timeliness.

Likewise, the originating departments are responsible for the content of their respective webpages. For the most part, these webpages are up-to-date and informative. The addition of links to other commands and departments on the Naval Station Newport is a valuable part of the webpage. While prudent, verification of the currency of the links does not seem to occur on a regular basis throughout the College.

The NWC public affairs office routinely reviews the NWC websites and posts updated information and events. These spot checks are useful in sustaining the accuracy of the information. Annually, the public affairs office and the personnel from the office of the Provost supervise and conduct a formal review of NWC websites; this is usually accomplished in conjunction with the annual revision of the online NWC catalog. Organizations within the College are tasked with reviewing and updating their material and those changes are then reviewed to ensure accuracy and completeness.

This review identified some impediments for external users examining the public website. Some contact information is difficult to locate, and for individual departments is scattered throughout the NWC site. Outside users frequently contact the NWC Press, which posts contact information and to which a random search is more likely than other departments to produce "hits" on search engines, in attempts to contact administrative or academic offices.

Likewise, educational information on the adjunct professors in the resident Electives Program is not readily accessible. Information on full-time resident faculty is available on the public website and also published in the respective syllabi. For the CDE full-time faculty information is found on the public website. However, relevant, educational information on the Fleet (adjunct) professors and the adjunct Web-enabled course professors is not readily accessible now that the *NWC Databook* is no longer printed.

Communicating with the non-resident students and those considering becoming NWC non-resident students is vital in accomplishing the educational mission. Access to these individuals is available only through the public website. The College of Distance Education understands the significance of the website and assigns a webmaster who successfully keeps the information current and accurate.

College publications and documents are easily attainable by the public, on request. It should be noted in regard to all the internal publications that, as an institution of the executive branch of the federal government, the Naval War College is subject to the Freedom of Information Act of 1966, which guarantees public access to most records. The Act can be summarized as follows: disclosure of information requested by the public is the rule rather than the exception; all individuals have an equal right of access; documentary information may be withheld only in specific and narrow circumstances, and the burden of justification in such cases lies upon the College. The requester is not required to justify the request; and individuals denied access to any information may seek relief in the courts.

At present the Registrar and Dean of Students keep student profiles for about ten years. Due to the nature of selection of students to the College no effort is made to present size and characteristics of students to the public. However, such information would be made available

under the Freedom of Information Act if requested. NWC's full time, resident students remain federal employees throughout their studies at NWC and will return to positions as assigned by their military service or federal agency. Since employment is not an issue, information on future employment possibilities is not integral to the NWC information processes.

All Navy directives and instructions are subject to review at a mandated periodicity; the Director of Operations/Business Manager ensures compliance. All other publications are subject to regular review and updating by the public affairs office or the originating deaneries. The College uses a similar methodology of review for its electronic media to ensure its currency is sustained through regular updates.

Overall, the College has embraced the opportunities afforded by the increased use of electronic media to tell its story and inform internal and external audiences. That momentum should continue in conjunction with progress on the College's ninth strategic goal, "Continue to improve the College's vital infrastructure in knowledge and information management; execute, as feasible, the College's elements of *Vision 2035: Master Plan Newport Naval Station, March 2008*; and invest in the faculty and staff to sustain our intellectual capital." Empowering our resident student body with information technology should bring parallel improvements in our internally-focused systems, then our non-resident programs and our public information program.

The Spruance Connections initiative was successful in gathering materials and providing a forum to showcase these products for senior Navy leaders. However, Spruance Connections is Google-based and there were connectivity issues with senior leaders trying to access the site from their NMCI accounts. Google-based products cannot be accessed through the .mil network regime because of information assuredness firewalls. As a result, the projected audience could not access the site using their job-related network. Connections from personal networks are possible and occur, but less frequently than originally planned.

## Projection

Many of the publications and presentations that were produced on paper a few years ago reside only on the web today. The web is an excellent vehicle to provide information to the public and the students, faculty, alumni, and staff of the College. The College will continue to post relevant information to the website.

The Knowledge Initiative Team has been successful integrating information management in many areas across the College's core missions. The team also provided a vision for a future information platform that is better suited to the future information dissemination requirements. Their research provided the rationale for funding to build the improved information system at NWC. Funding begins in fiscal year 2015 and continues into 2016. NWC plans to have the new approach in full operation during fiscal year 2017. The new platform will address some of the deficiencies identified in the section above. This team's activities have been suspended until major elements of the new platform are emplaced.

During the next annual review of the websites, accessibility of key information, such as contact points, will be a major item for examination.

## Standard 10: Public Disclosure

Information	Web Addresses	Print Publications
How can inquiries be made about the institution? Where can questions be addressed?	<a href="https://www.usnwc.edu/About/Contact-Us.aspx">https://www.usnwc.edu/About/Contact-Us.aspx</a>	
Notice of availability of publications and of audited financial statement or fair summary	N/A	
Institutional catalog	<a href="https://www.usnwc.edu/Academics/Catalog/Rightisidelinks-(1)/2014-15.aspx">https://www.usnwc.edu/Academics/Catalog/Rightisidelinks-(1)/2014-15.aspx</a>	
Obligations and responsibilities of students and the institution	<a href="https://www.usnwc.edu/Academics/Catalog/Rightisidelinks-(1)/2014-15.aspx#Expectations">https://www.usnwc.edu/Academics/Catalog/Rightisidelinks-(1)/2014-15.aspx#Expectations</a>	
Information on admission and attendance	<a href="https://www.usnwc.edu/Academics/Catalog/Rightisidelinks-(1)/2014-15.aspx#AdmissionPolicy">https://www.usnwc.edu/Academics/Catalog/Rightisidelinks-(1)/2014-15.aspx#AdmissionPolicy</a>	
Institutional mission and objectives	<a href="https://www.usnwc.edu/Academics/Catalog/Rightisidelinks-(1)/2014-15.aspx#Mission">https://www.usnwc.edu/Academics/Catalog/Rightisidelinks-(1)/2014-15.aspx#Mission</a>	
Expected educational outcomes	<a href="https://www.usnwc.edu/Academics/Catalog/Rightisidelinks-(1)/2014-15.aspx#PME PMEOutcomes">https://www.usnwc.edu/Academics/Catalog/Rightisidelinks-(1)/2014-15.aspx#PME PMEOutcomes</a>	
Status as public or independent institution; status as not-for-profit or for-profit; religious affiliation	<a href="https://www.usnwc.edu/Academics/Catalog/Rightisidelinks-(1)/2014-15.aspx#History">https://www.usnwc.edu/Academics/Catalog/Rightisidelinks-(1)/2014-15.aspx#History</a>	
Requirements, procedures and policies re: admissions	<a href="https://www.usnwc.edu/Academics/Catalog/Rightisidelinks-(1)/2014-15.aspx#AdmissionPolicy">https://www.usnwc.edu/Academics/Catalog/Rightisidelinks-(1)/2014-15.aspx#AdmissionPolicy</a>	
Requirements, procedures and policies re: transfer credit	<a href="https://www.usnwc.edu/Academics/C 2013 Faculty Handbook pp. 127/">https://www.usnwc.edu/Academics/C 2013 Faculty Handbook pp. 127/</a>	
A list of institutions with which the institution has an articulation agreement	N/A	
Student fees, charges and refund policies	N/A	
Rules and regulations for student conduct	<a href="https://www.usnwc.edu/Students/U-S--Resident-Students.aspx">https://www.usnwc.edu/Students/U-S--Resident-Students.aspx</a>	2013 Faculty Handbook pp. 126
Procedures for student appeals and complaints	<a href="https://www.usnwc.edu/Students/U-S--Resident-Students/CNW.aspx">https://www.usnwc.edu/Students/U-S--Resident-Students/CNW.aspx</a>	
Other information re: attending or withdrawing from the institution	<a href="https://www.usnwc.edu/Academics.aspx">https://www.usnwc.edu/Academics.aspx</a>	
Academic programs	<a href="https://www.usnwc.edu/Academics/Senior-Enlisted-Academy/Student-Information/Course-Information.aspx">https://www.usnwc.edu/Academics/Senior-Enlisted-Academy/Student-Information/Course-Information.aspx</a>	
Courses currently offered	<a href="https://www.usnwc.edu/Academics/Catalog/Rightisidelinks-(1)/2014-15.aspx#AcademicDepartmentsAndCourses">https://www.usnwc.edu/Academics/Catalog/Rightisidelinks-(1)/2014-15.aspx#AcademicDepartmentsAndCourses</a>	
Other available educational opportunities	<a href="https://www.usnwc.edu/Students/U-S--Resident-Students.aspx">https://www.usnwc.edu/Students/U-S--Resident-Students.aspx</a>	
Other academic policies and procedures	2013 Faculty Handbook pp. 125	
Requirements for degrees and other forms of academic recognition	<a href="https://www.usnwc.edu/Academics/Faculty.aspx">https://www.usnwc.edu/Academics/Faculty.aspx</a>	
List of current faculty, indicating department or program affiliation, distinguishing between full- and part-time, showing degrees held and institutions granting them	<a href="https://www.usnwc.edu/About/College-Administration.aspx">https://www.usnwc.edu/About/College-Administration.aspx</a>	
Names and positions of administrative officers		
Names, principal affiliations of governing board members		
Locations and programs available at branch campuses, other instructional locations, and overseas operations at which students can enroll for a degree, along with a description of programs and services available at each location	<a href="https://www.usnwc.edu/Academics/College-of-Distance-Education/Flect-Seminar.aspx">https://www.usnwc.edu/Academics/College-of-Distance-Education/Flect-Seminar.aspx</a>	
Programs, courses, services, and personnel not available in any given academic year	N/A	
Size and characteristics of the student body	<a href="https://www.usnwc.edu/Students/U-S--Resident-Students.aspx">https://www.usnwc.edu/Students/U-S--Resident-Students.aspx</a>	

Description of the campus setting	<a href="https://www.usnwc.edu/About/Fast-Facts.aspx">https://www.usnwc.edu/About/Fast-Facts.aspx</a>
Availability of academic and other support services	<a href="https://www.usnwc.edu/Academics/Catalog/RightsideLinks-1/2014-15.aspx#Counseling">https://www.usnwc.edu/Academics/Catalog/RightsideLinks-1/2014-15.aspx#Counseling</a>
Range of co-curricular and non-academic opportunities available to students	<a href="https://www.usnwc.edu/Academics/Catalog/RightsideLinks-1/2014-15.aspx#Recreation">https://www.usnwc.edu/Academics/Catalog/RightsideLinks-1/2014-15.aspx#Recreation</a>
Institutional learning and physical resources from which a student can reasonably be expected to benefit	Resident Student Handbook 2014
Institutional goals for students' education	<a href="https://www.usnwc.edu/Academics/Catalog/RightsideLinks-1/2014-15.aspx#Mission">https://www.usnwc.edu/Academics/Catalog/RightsideLinks-1/2014-15.aspx#Mission</a>
Success of students in achieving institutional goals including rates of retention and graduation and other measure of student success appropriate to institutional mission. Passage rates for licensure exams, as appropriate	N/A
Total cost of education, including availability of financial aid and typical length of study	N/A
Expected amount of student debt upon graduation	N/A
Statement about accreditation	<a href="https://www.usnwc.edu/Academics/Catalog.aspx">https://www.usnwc.edu/Academics/Catalog.aspx</a>

## Chapter 11 – Integrity

### Description

#### Ethical Standards and Expectations

The Naval War College continues to set and meet high standards for ethical conduct and academic integrity in both its policies and procedures and in the day-to-day practices of students, staff, faculty, and senior leadership. As commissioned officers and civilian employees of the federal government, NWC personnel must conform to high standards of ethical conduct. This is well understood as an individual and a collective responsibility. As a federal institution, NWC operates under the strict standards imposed on it by federal law, the Secretary of Defense, the Secretary of the Navy, and the Chief of Naval Operations, as embodied in Department of Defense Joint Directive 5500.7, entitled *Standards of Conduct*. This document contains the government-wide standards established by the Office of Government Ethics (OGE). Related formal guidance is addressed in the appropriate, enclosed data forms.

Policies and procedures supporting academic integrity are promulgated and published in the *USNWC Student Handbook* and in the *USNWC Faculty Handbook*. Additionally, academic integrity is discussed during the new student orientation and in student seminars at the outset of each trimester.

The *Naval War College Strategic Plan 2014-2018* focuses on key elements of integrity. The NWC Vision is “an objective and rigorous academic institution that develops strategically minded warfighters and culturally adept, internationally focused, ethical leaders ...” The College strives to be a vanguard institution, producing new ideas but also leading by example in the realm of leadership and ethics.” In the “Naval War College Values” section of the strategic plan, NWC discussed the Navy Core Values of “honor, courage, and commitment” and identified three additional values, “academic responsibility, institutional excellence, and global perspective,” as critical to continued mission success. Building trust and confidence is the foundation for the enduring relationships that we seek for the College community and our graduates. Truth and respect are fundamental in developing those essential bonds.

Commissioned officers in the U.S. military enjoy a special trust and confidence based on their inherent responsibility to the nation’s citizens for the lives of their sons and daughters. Many of the students and faculty at NWC have made decisions concerning the life and death of those entrusted to their care and live daily with the consequences of those choices. Integrity and honesty must be fundamental attributes to those serving in the profession of arms. The two resident programs of study examine the Navy ethos, the profession of arms, and professional ethics. These issues are addressed in the core academic program and in an elective area of study titled “leadership and Ethics.” Additionally, NWC has funded the James Bond Stockdale Chair in Leadership and Ethics, and implemented periodic ethics conferences for students and faculty. The College’s study and expertise in the area of leadership and professional ethics recently



resulted in the appointment by the Chief of Naval Operations of the President, NWC as the Navy's executive agent for Navy leadership and ethics, responsible for assessing all curricula related to those areas.

### **Free Pursuit and Dissemination of Knowledge**

NWC is dedicated to the principle of academic freedom and the responsibility for furthering knowledge especially related to the profession of arms. As cited in the strategic plan, "we must preserve our institutional integrity—seeking truth without bias." Again, the student and faculty handbooks provide detailed guidance in this area. This guides our approach to the classroom, to our conferences, and to our research efforts. NWC endorses the American Association of University Professors in their 1940 principles and their 1970 interpretive comments. Throughout the academic program, the Chatham House Rule applies to encourage an open exchange of ideas and opinions. Collegiality remains a major responsibility in order to ensure free inquiry and a healthy exchange and debate of ideas.

NWC actively encourages faculty and students to engage in professional scholarship and, where appropriate, publish. NWC routinely hosts twelve to fifteen conferences per year to facilitate the pursuit of knowledge, scholarship, and professional development. NWC expects faculty and students, as federal service members, to ensure their expressions are identified as their personal views and do not represent the views of the College, the Navy (or respective service), or the federal government.

To ensure faculty and NWC research efforts met standards, the College recently instituted a Memorandum of Understanding with the Naval Postgraduate School (NPS) concerning the Institutional Review Board (IRB) process for students and faculty conducting human subject testing as a part of their research. IRB requests are rigorously analyzed here at NWC, sent to the NPS IRB for review, and then to the Provost for approval, prior to beginning any research.

### **Diversity**

Since broadening perspectives and acculturating these professional students to lead in a multi-service, multi-agency, and multinational environment, diversity is foundational to our educational success. In this light, diversity takes myriad forms. The mix of our faculty and our student body needs to reflect a variety of cultures, viewpoints and perspectives in addition to the normal elements of race, ethnicity, and gender. In terms of the latter elements, the federal government sets clear standards for non-discrimination and to foster equal opportunity.

Aside from issues of ethical conduct and professional integrity, the College also embraces Navy policy prohibiting "all forms of discrimination" that "include, but are not limited to, discrimination based on race, color, religion, sexual orientation, national origin, and disability." All personnel are subject to the rules and benefits of the Equal Employment Opportunity (EEO) and Equal Opportunity (EO) Programs. These efforts

are under the personal supervision of the President of the Naval War College, who is formally the EEO/EO Officer.

To help ensure compliance and advocate fairness, the College has a dedicated Equal Employment Opportunity Committee within the Office of the President. Supervisors and department chairs are formally trained in the EEO processes and are expected to perform their responsibilities with zero tolerance for sexual harassment. In addition, all staff and faculty undergo periodic training on sexual harassment-prevention and sexual assault prevention and response. EEO policies are posted throughout the facilities and on the intranet site.

## **Appraisal**

### **Ethical Standards and Expectations**

NWC remains thoroughly committed to institutional and individual integrity. Navy students arrive with a mature ethical foundation based on honor, courage, and commitment; other military service officers are thoroughly versed in their own core values. Fairness and equality, non-discriminatory practices and attitudes are fundamental to the success of NWC, the Navy, and other US military services and federal agencies. Data from surveys and focus groups clearly reflect a high level of success.

In terms of academic integrity, NWC continues to sustain an excellent record. Other than occasional cases of plagiarism, there have been rare instances of unethical behavior or actions by students or faculty. Graduates consistently rate academic integrity as one of the highest elements at the College. Additionally, graduates perceive that diverse viewpoints are often encouraged by the faculty in seminar discussions.

The College routinely has external reviews from within the Department of the Navy to ensure NWC remains in compliance with federal policies and practices. Our human resources, business operations including contracting, and our financial systems are all elements of a Navy-wide system; each receiving regular scrutiny from the Navy staff. The accreditation team representing the Chairman, Joint Chiefs of Staff made on-site visits in the spring of 2006 and 2009 to conduct a thorough review of our resident senior program and in the fall of 2009 to do the same to our intermediate-level resident and non-resident programs.

The Naval Inspector General sent a team to conduct a three-week on-site, comprehensive review of all aspects of the College in the summer of 2013. The most recent external review was done by a GAO team that was sent to review all aspects of the College's research efforts. That team was favorably impressed with the integrity of the research conducted at the College and published their findings as part of a report that surveyed research at all PME institutions. None of these reviews discovered any evidence of a lack of integrity by the College or its members.

## Free Pursuit and Dissemination of Knowledge

The accreditation team representing the Chairman, Joint Chiefs of Staff and the Naval Inspector General team observed the resident seminars, conducted focus groups with faculty and students, and examined the issue of academic integrity. Our internal assessment based on direct observation and data along with these external reviews indicate that the expected critical thinking and robust interaction is occurring. Data from graduation surveys indicate that the faculty encourages a diversity of opinions and that the seminar interchanges remain robust and collegial.

The College and the faculty encourage these mid-career professional students to write and consider publishing. NWC maintains a significant program for recognizing superior student papers with awards; faculty committees judge the student papers. Data indicate that the faculty encourages a sizeable number of students to consider publishing their works. Additionally, NWC has created a student-run, online journal, [/luce.nt/](http://luce.nt/), for publishing student and faculty papers. The *Naval War College Review* remains a place where members of the College community and the larger national security community have opportunities to publish.

Faculty contracts require their active engagement in the appropriate discipline and/or area of professional expertise. Annually, they are formally evaluated in this area. The record of engagement is solid. A number of the works of faculty members are published. Many are engaged in professional and academic conferences, participating as speakers, panelists, and moderators. NWC's formal faculty development program supports their efforts in this regard. NWC hosts a number of conferences annually to highlight the work and ideas of its faculty and engage with the larger professional community. These practices encourage faculty to communicate with fellow professionals and American citizens regarding matters of national security and defense. As a result, faculty are seen, heard, and read within their disciplines, as well as by the public at large.

However, twice in the last four years the engagement program has been impeded by a lack of resources and a set of policies and practices that significantly complicate faculty travel and attendance at conferences not sponsored by DoD. College funding was twice diminished, as a result of the larger national fiscal climate affecting the resourcing of DoD. NWC was able to use gift funds to bolster the faculty development program and continue the highest priority engagements. Further fiscal uncertainty looms for the nation, DoD, and the College. NWC leadership has been deeply involved with the Navy and Joint staffs on the issue of non-DoD sponsored conferences. Together with the Director of the Navy Staff, a proposal has been drafted to permit delegation of authorities to ease the encumbrance of the current rules. That proposal remains under review.

Additionally, the rules for copyright for federal employees complicate the ability of some faculty members to publish in highly regarded, professional journals. The faculty's handbook contains specific guidance and the College's lawyer routinely counsels individual faculty members on this process. For the last several years, NWC leadership has examined this issue and decided to recommend a change to the federal

statutes governing copyright, in order to facilitate the publishing process for faculty. The Navy has endorsed the recommended revised statute and it is currently part of the DoD legislative agenda for fiscal year 2015.

## **Diversity**

The College's programs, policies, and processes to prevent discrimination in any form are viable. They are aligned with Navy and federal government regulations, guidance, and intent. The NWC Staff Judge Advocate, a Navy lawyer, serves as the Command Ethics Advisor and is deeply involved with every aspect of the NWC community as it relates to ethics and standards of behavior. The leadership strives to encourage diversity and diverse points of view throughout the institution.

Nonetheless, NWC's strategic plan retains a goal designed to "create a systematic approach for fostering diversity and inclusion throughout the College community and sustain an inclusive College climate." This goal continues a focus begun nearly a decade ago to strengthen NWC's ability to facilitate the acculturation of our professional students for leadership in the contemporary environment. Leading operations involving multiple military services and nationalities as well as representatives from national and local agencies requires a leader attuned to establishing a working climate that is rooted in respect, trust, and inclusion.

NWC routinely uses a formal DoD survey, the Command Climate Survey, to canvass the permanent personnel regarding the workplace environment and the fairness and equity displayed at NWC. The survey is designed by the Defense Equal Opportunity Management Institute and provides data on diversity, equal opportunity, hazing, sexual assault and prevention, and sexual harassment. The College last administered the survey in early 2014 to measure climate factors associated with the military Equal Opportunity Program, the civilian Equal Employment Opportunity Program and the organizational effectiveness of the command. Five of the 20 climate factors measured were in the top 20% of the overall Navy averages and all of the remaining factors were near the overall Navy average. The majority of the command (65%) felt that the College morale had improved since the last survey in 2013 and a full 80% of the command reported that they are encouraged to express ideas for workplace improvements and that supervisors take the appropriate actions to promote and provide a fair and equitable work environment.

## **Projection**

### **Ethical Standards and Expectations**

Within the last two years, the Chief of Naval Operations, the Chairman, Joint Chiefs of Staff and the Secretary of Defense have all taken a personal interest in the leader development and professional ethics within the armed services. The emphasis on development of ethical leaders is clear and will remain a sustained concern. Most likely, NWC will examine its student outcomes for its graduates to address this key issue. However, the faculty has already matured the curricula in this area and possesses significant expertise to continue to refine the educational efforts.

There is no reason to believe that the College's strong ethical culture will do anything but continue. As an agency of the federal government, and especially as a venue for the professional education of military officers, the College is legally and culturally bound to meet high ethical standards. The Navy's core values, "honor, courage, commitment", are woven throughout the fabric of the institution by both students and faculty members alike. The *Naval War College Strategic Plan 2014-2018* reiterates the commitment to those core values. Honesty and forthrightness are key hallmarks for success in the profession of arms and the national security arena. The last decade of war demonstrated that the 21<sup>st</sup> century challenges require a strong partnership with a diverse group of organizations to succeed. Trust is instrumental in forging such bonds, and integrity is fundamental to the cohesion.

### **Free Pursuit and Dissemination of Knowledge**

Resources will be the greatest challenge to the sustainment of the College's vibrant program to encourage active engagement with academic and professional communities, the nation's national security leadership and the American citizens, as well as colleagues and partners globally. Beyond fiscal year 2015, the issue of resourcing for federal activities remains unresolved by Congress. Nevertheless, NWC will be able to sustain at least a more modest program of active engagement simply because it remains vital to our mission success. NWC leadership will continue to monitor this issue closely.

The proposed legislation concerning copyright, if approved as drafted, will remove a key impediment to publishing for faculty members at this College and for faculty throughout the federal enterprise. Significant support for this effort has come from other professional military education colleges and their respective services, as well as the joint staff.

### **Diversity**

Over the last decade, NWC has significantly increased the international officer representation in the two resident programs and the faculty. Modest gains have also been made with representation of DoD and federal agencies in terms of students and faculty. The curricula have broadened to prepare our professional students for the challenges ahead, bringing several new academic disciplines into the faculty. The mix of military services and specialties has remained robust. And our speaker programs and conferences increase the diversity of thought and perspectives presented by the academic programs. While future resourcing challenges may reduce the speaker and conference activities, this diversity is essential in supporting the attributes and knowledge our graduates must have so the funding in this area will be protected.

Some strides have been made in the diversity of the faculty and staff. Efforts to continue that trend are reinforced by the diversity goal in the strategic plan. NWC is committed to developing a culture of inclusion for all that choose to work and study here.

**Standard 11: Integrity**

Last Updated	Where Policy is Posted	Responsible Office or Committee
2013/2014	Faculty & Student Handbooks/NWC Catalogs	Academic Integrity Review
April 2013	Faculty Handbook	
April 2013	Faculty Handbook	
May 2007	DoD 5400.11-R DoD Privacy Program	
2013/2014	Faculty & Student Handbooks	
April 2013	Faculty Handbook	
April 2013	Faculty Handbook	
April 2013	Faculty Handbook	
2103/2104	Faculty & Student Handbooks	

**Policies**

- Academic honesty
- Intellectual property rights
- Conflict of interest
- Privacy rights
- Fairness for students
- Fairness for faculty
- Fairness for staff
- Academic freedom
- Nonattribution
- Other \_\_\_\_\_

**Non-discrimination policies**

- Recruitment and admissions
- Employment
- Evaluation
- Disciplinary action
- Advancement
- Other \_\_\_\_\_

April 2013	Faculty Handbook	
April 2013	Faculty Handbook	
April 2013	Faculty Handbook	
April 2013	Faculty Handbook	
April 2013	Faculty Handbook	

**Resolution of grievances**

- Students
- Faculty
- Staff
- Other \_\_\_\_\_

2014	Student Handbook	
April 2013	Faculty Handbook	
April 2013	Faculty Handbook	

**Other**

- Sexual Discrimination &
- EEO
- Fraternization
- Nepotism
- Safety & Occupational Health
- Hazing
- Drug-Free Workplace

Last Updated	Relevant URL or Publication	Responsible Office or Committee
2013/2014	Faculty & Student Handbooks & PNWC Policy Letter &	
2013/2014	Faculty & Student Handbooks & SECNAVINST 5354.2	
2013/2014	Faculty & Student Handbooks	
April 2013	Faculty Handbook	
July 14	PNWC Policy Letter	
July 14	PNWC Policy Letter & OPNAVINST 1610.2	
April 2013	Faculty Handbook & SECNAVINST 5212.5D	

## **Appendix A**

### **Affirmation of Compliance with Federal Requirements of Title IV**



**NEW ENGLAND ASSOCIATION OF SCHOOLS AND COLLEGES  
COMMISSION ON INSTITUTIONS OF HIGHER EDUCATION**

3 Burlington Woods, Suite 100, Burlington, MA 01803-4514  
Voice: (781) 425 7785 Fax: (781) 425 1001 Web: <http://cihe.neasc.org>

**AFFIRMATION OF COMPLIANCE WITH FEDERAL REGULATIONS RELATING TO TITLE IV**

Periodically, member institutions are asked to affirm their compliance with federal requirements relating to Title IV program participation, including relevant requirements of the Higher Education Opportunity Act.

- 1. Credit Hour:** Federal regulation defines a credit hour as an amount of work represented in intended learning outcomes and verified by evidence of student achievement that is an institutional established equivalence 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 fifteen weeks for one semester or trimester hour of credit, or ten to twelve weeks for one quarter hour of credit, 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 the institution including laboratory work, internships, practica, studio work, and other academic work leading to the award of credit hours. (CIHE Policy 111. See also *Standards for Accreditation* 4.34.)

URL	<a href="https://www.usnwc.edu/Academics/Catalog/RightsideLinks-(1)/2014-15.aspx#DegreeAndDiplomaRequirements">https://www.usnwc.edu/Academics/Catalog/RightsideLinks-(1)/2014-15.aspx#DegreeAndDiplomaRequirements</a>
Print Publications	
Self-study/Fifth-year report Page Reference	

- 2. Credit Transfer Policies.** The institution’s policy on transfer of credit is publicly disclosed through its website and other relevant publications. The institution includes a statement of its criteria for transfer of credit earned at another institution of higher education along with a list of institutions with which it has articulation agreements. (CIHE Policy 95. See also *Standards for Accreditation* 4.44 and 10.5.)

URL	<a href="https://www.usnwc.edu/Academics/Catalog/RightsideLinks-(1)/2014-15.aspx#TranscriptsAndTransferCredit">https://www.usnwc.edu/Academics/Catalog/RightsideLinks-(1)/2014-15.aspx#TranscriptsAndTransferCredit</a> (NWC Catalog) <a href="https://www.usnwc.edu/Departments---Colleges/College-of-Distance-Education/Graduate-Degree.aspx">https://www.usnwc.edu/Departments---Colleges/College-of-Distance-Education/Graduate-Degree.aspx</a> (CDE Page)
Print Publications	
Self-study/Fifth-year Report Page Reference	

- 3. Student Complaints.** “Policies on student rights and responsibilities, including grievance procedures, are clearly stated, well publicized and readily available, and fairly and consistently administered.” (*Standards for Accreditation* 6.18, 10.5, and 11.8.)

URL	<a href="https://www.usnwc.edu/Students/U-S--Resident-Students.aspx">https://www.usnwc.edu/Students/U-S--Resident-Students.aspx</a> Student Handbook
Print Publications	Course Syllabi
Self-study/Fifth-year Report Page Reference	

- 4. Distance and Correspondence Education: Verification of Student Identity:** If the institution offers distance education or correspondence education, it has processes in place to establish that the student who registers in a distance education or correspondence education course or program is the same student who participates in and completes the program and receives the academic credit. . . .The institution protects student privacy and notifies students at the time of registration or enrollment of any projected additional student charges associated with the verification of student identity. (CIHE Policy 95. See also *Standards for Accreditation* 4.42.)

Method(s) used for verification	N/A
Self-study/Fifth-year Report Page Reference	N/A

- 5. FOR COMPREHENSIVE EVALUATIONS ONLY: Public Notification of an Evaluation Visit and Opportunity for Public Comment:** The institution has made an appropriate and timely effort to notify the public of an upcoming comprehensive evaluation and to solicit comments: (CIHE Policy 77.)

URL	<a href="https://www.usnwc.edu/Academics.aspx">https://www.usnwc.edu/Academics.aspx</a>
Print Publications	Federal Register
Self-study Page Reference	



The undersigned affirms that the U.S. Naval War College meets the above federal requirements relating to Title IV program participation, including those enumerated above

Chief Executive Officer: William R. Smith

Date: September 23, 2014

for Rear Admiral Howe  
who is on travel

## **Appendix B**

### **Data Forms on Student Achievement and Success (E & S Forms)**

## PART I: MAKING ASSESSMENT MORE EXPLICIT (THE E SERIES)

Here institutions are asked to declare their approach to providing “systematic and broad-based assessment of what and how students are learning” (4.48), and summarize how the information is used for improvement. Four possible alternatives are listed below; if institutions wish to propose another alternative, they are invited to contact Commission staff. In all cases, the Commission expects that the alternative selected will provide the institution with the ability to present its assessment at the program and institutional level. The four alternatives are:

- **E1: Inventory:** In this alternative, the institution completes: Part A, an inventory of how programs assess student learning and use the results, and, as appropriate, Part B, an inventory of specialized accreditation. This alternative is based on a system used by the Western Association of Schools and Colleges (WASC).
- **E2: VSA:** Here, the institution commits to the Voluntary System of Accountability (VSA) plus program review. This alternative builds on the system developed by APLU and AACSB; because the VSA uses institutional level data, it is augmented for Commission purposes by information on program review. While the system was developed by and for public institutions, for the Commission’s purposes, it may be selected by any institution.
- **E3: Institutional Claims:** Some institutions may elect a framework in which they state claims for the success or achievement of their students and provide evidence to validate the claim. This audit approach provides the institution great flexibility in stating the claims it makes to the public about student learning and student achievement, and developing credible evidence to support the claims.
- **E4: Peer Comparison:** Many institutions already have complex systems to compare themselves with peer institutions, most often on matters of resources and processes; this alternative provides the opportunity to extend those comparisons to outcomes for student learning and success. Here the institution identifies key measures of student success (e.g., transfer or acceptance to graduate school) and compares its level of performance with that of its peers.

**Selecting the method:** In the periodic reviews, institutions are asked to declare which of the above four methods they wish to use. Alternatively, institutions may propose a fifth system or combination of the above. Such proposals should be forwarded to the Director of the Commission early in the report-preparation process. The Commission staff will review the proposal and confer with the institution.

**Using the information in the forms and integrating information into the self-study:** Institutions are encouraged to select their approach and complete the forms early in the report-preparation process so that they can use the information. The Appraisal section of the report provides a useful opportunity for institutions to reflect both on the success and achievement of their students and on their own progress in understanding what and how students are learning. Similarly, the Projection section affords institutions an opportunity to state their commitment for improvement in the area of assessment.

**OPTION E1: PART A. INVENTORY OF EDUCATIONAL EFFECTIVENESS INDICATORS**

CATEGORY	(1) Have formal learning outcomes been developed?	(2) Where are these learning outcomes published? (please specify) Include URLs where appropriate.	(3) Other than GPA, what data/evidence is used to determine that graduates have achieved the stated outcomes for the degree? (e.g., capstone course, portfolio review, licensure examination)	(4) Who interprets the evidence? What is the process? (e.g. annually by the curriculum committee)	(5) What changes have been made as a result of using the data/evidence?	(6) Date of most recent program review (for general education and each degree program)
At the institutional level:	Yes	<a href="https://www.usnwc.edu/Academics/Catalog/RightsideLinks-(1)/2014-15.aspx#Mission">https://www.usnwc.edu/Academics/Catalog/RightsideLinks-(1)/2014-15.aspx#Mission</a>	Capstone exercises and Examinations	Course directors interpret the evidence and reviewed by the Academic Policy Council (APC)	Courses updated annually based upon data/evidence.	May 2009 (CNW) January 2014 (CNC&S & CDE)
For general education if an undergraduate institution:						

List each degree program:								
1.								
2.								
3.								
4.								
5.								
6.								

Institutions selecting E1a should also include E1b.

**OPTION E1: PART B. INVENTORY OF SPECIALIZED AND PROGRAM ACCREDITATION**

(1) Professional, specialized, State, or programmatic accreditations currently held by the institution (by agency or program name).	(2) Date of most recent accreditation action by each listed agency.	(3) List key issues for continuing accreditation identified in accreditation action letter or report.	(4) Key performance indicators as required by agency or selected by program (licensure, board, or bar pass rates; employment rates, etc.). *	(6) Date and nature of next scheduled review.
Joint Staff J7 Process Accreditation for Joint Education (PAJE)	May 2009 (CNW) October 2009 (CNC&S & CDE)	Key factors for accreditation included all joint learning areas and objectives identified for Service intermediate- and senior-level colleges.	Officer Professional Military Education Policy (OPMEP) Chairman of the Joint Chiefs of Staff Instruction 1800.01D dated 15 July 2009	May 2015 (CNW) October 2015 (CNC&S & CDE)

\*Record results of key performance indicators in form S3.

Institutions selecting E1b should also include E1a.

## PART II: DOCUMENTING STUDENT SUCCESS (THE S-SERIES)

The S-series of forms has been devised for institutions to present data on retention and graduation rates and other measures of student success appropriate to the institution's mission. (*Standards for Accreditation*: 6.6, 6.7, 6.8, 6.9, 10.10 and 10.12) Clearly, not every measure listed here is appropriate for every institution. At the same time, some institutions may have multiple instances of a single item (e.g., licensure pass rates). In developing these forms, the Commission recognizes the value of trends in data, and the importance of the institution's own goals for success. Each form provides space for institutions to indicate definitions and the methodology used to calculate measures of student success.

By listing several ways to measure student success and achievement, the Commission encourages institutions to reflect on how they are using data to understand student success. The far right column within each form provides institutions the opportunity to identify their goal for each measure of student success, and the date by which the goal is expected to be attained. As always, the Commission expects that the institution's mission will provide helpful guidance in thinking about which measures of student success are most important and most useful. In brief, the forms are:

**S1. Retention and Graduation Rates.** Here institutions are asked to provide information on their IPEDS-defined retention and graduation rates, along with their goals for these indicators. Institutions can also provide additional retention and graduation indices, depending on their mission, program mix, student population, locations, and method of program delivery. For example, some baccalaureate institutions may also track 4- and 5-year graduation rates; some community colleges may find 4- and 5-year rates to complete an associate's degree to be helpful in evaluating their success with their student population. Institutions can also track the success of part-time students, transfer students, or students studying at off-campus locations or in programs offered on-line.

**S2. Other Measures of Student Achievement and Success.** The measures recorded here are likely to be mission-related. For example, some institutions may track the success of students gaining admission into certain graduate- or first-professional degree programs. Community colleges may track the success of their students entering baccalaureate programs. For some institutions, the number of students who enter programs such as Teach for America, the Peace Corps, or public service law may also represent indicators of institutional effectiveness with respect to their mission.

**S3. Licensure Passage and Job Placement Rates.** Institutions that prepare students for specific careers will find it appropriate to record the success of their students in passing licensure examinations. Also included in this form is the provision to record the success of students – perhaps by their academic major – in finding employment in the field for which they were prepared.

**S4. Completion and Placement Rates for Short-Term Vocational Programs.** Institutions with such programs in which students are eligible for Title IV federal financial aid should use these forms.

**Using the forms:** By completing these forms early in the self-study process, institutions will have time to collect and analyze all available information. The Appraisal section of the self-study provides a useful opportunity for institutions to reflect both on the findings recorded in the forms and the extent to which they have developed the systems to collect and use the most important data on student success. Similarly, the Projection section affords institutions an opportunity to state their commitment for improvement in the area of assessment.

**Form S1. RETENTION AND GRADUATION RATES**

Student Success Measures/ Prior Performance and Goals	3 Years Prior	2 Years Prior	1 Year Prior	Most Recent Year (2014 )	Goal for 2015
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**IPEDS Retention Data**

Associate degree students					
Bachelors degree students					

**IPEDS Graduation Data**

Associate degree students					
Bachelors degree students					

**Other Undergraduate Retention Rates (1)**

a					
b					
c					

**Other Undergraduate Graduation Rates (2)**

a					
b					
c					

**Graduate programs \***

Single Year Program Graduation Rates	99%	99%	99%	99%	100%
Graduation rates @ 150% time (4)					

**Distance Education Graduation Rates**

Web-enabled Program			70.3%	74.8%	100%
CD-ROM Based Program		32.5%	53.8%		100%
NWC at the Naval Postgraduate School			96.8%	98.7%	100%

**Branch Campus and Instructional Locations (Fleet Seminar Program)**

Course completion rate (8)			85.8%	81.5%	100%
Retention rates (9)					
Graduation rates (10)					

**Definition and Methodology Explanations**

1	The US Naval War College's non-resident programs are managed by the College of Distance Education (CDE). There are four distinct programs.
2	1. Web-enabled Program – The methodology of this program allows those officers unable to join with peer groups for study in the Fleet Seminar Program to complete a non-resident program of individual study in a virtual seminar supervised by CDE faculty using a learning management system and the technology of the web.
3	2. CD ROM Based Program – The methodology of this program allows those who cannot enroll in one of the other programs to complete a distance program of individual study supervised by CDE faculty. There are a number of interactive student activities, self-assessment quizzes, and graphics to provide a more engaging learning environment.
4	3. NWC at the Naval Postgraduate School (NPS) – The College entered into a partnership with NPS in 1999 to offer NWC courses to eligible personnel at NPS. Full-time NWC faculty members at this additional instructional location teach these courses in the classroom at NPS.
5	4. Fleet Seminar Program – Fleet seminars meet in a classroom environment for three-hour sessions one evening per week for 35 weeks under the direction of a NWC adjunct professor. There are twenty additional instructional locations across the US, teaching 55 seminars in this program.
6	Fleet Seminar Retention and Graduation Rates – The College's professional military students routinely change locations at 2 to 3 year intervals. Many also must adjust studies to match overseas deployments. To best serve the students, they may mix and match elements of the various non-resident options of the non-degree programs to suit their professional responsibilities. Thus, retention rates and graduation rates are not very useful metrics.
7	
8	
9	
10	

\* An institution offering graduate degrees must complete this portion.



**Form S2. OTHER MEASURES OF STUDENT ACHIEVEMENT AND SUCCESS**

<b>Measures of Student Achievement and Success/ Institutional Performance and Goals</b>	<b>3 Years Prior</b>	<b>2 Years Prior</b>	<b>1 Year Prior</b>	<b>Most Recent Year (2014 )</b>	<b>Goal for 2014</b>
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**Success of Students Pursuing Higher Degree**

1					
2					
3					
4					

**Definition and Methodology Explanations**

**Rates at Which Graduates Pursue Mission-Related Paths (e.g., Peace Corps, Public Service Law)**

1	Resident Degree Graduates	100%	100%	100%	100%	100%
2	Non-resident Degree Graduates	100%	100%	100%	100%	100%
3	Non-resident Non-degree Intermediate PME Graduates	100%	100%	100%	100%	100%
4						

**Definition and Methodology Explanations**

**This is not a useful measure of effectiveness for NWC because of the professional student body.**

**Rates at Which Students Are Successful in Fields for Which They Were Not Explicitly Prepared**

1					
2					
3					
4					

**Definition and Methodology Explanations**

**Documented Success of Graduates Achieving Other Mission-Explicit Achievement (e.g., Leadership, Spiritual Formation)**

1					
2					
3					

**Definition and Methodology Explanations**

**Other (Specify Below)**

1	General Alumni Surveys
2	Tailored Alumni Surveys

**Definition and Methodology Explanations**

General alumni surveys are sent annually to selected classes via e-mail at the two and five year mark after graduation.. Completion rates average 37-39%. These surveys are used to address the degree of relevance of the NWC education and curriculum to the professional challenges and professional development of our graduates. We also administer tailored alumni surveys for alumni that meet significant career milestones such as promotion or selection for command. These surveys address the relevance of the educational outcomes, the overall value of the education, and the relevancy of elements of the education to professional development and challenges faced in their careers.

The College hosts a number of senior military and national defense leaders who participate in qualitative surveys concerning the viability of the NWC educational outcomes and the success of NWC graduates working with that senior leader.

**Form S3. LICENSURE PASSAGE AND JOB PLACEMENT RATES**

		3 Years Prior	2 Years Prior	1 Year Prior	Most Recent Year (2014)	Goal for 2015
<b>State Licensure Passage Rates * N/A</b>						
1						
2						
3						
4						
5						
<b>National Licensure Passage Rates * N/A</b>						
1						
2						
3						
4						
5						
<b>Job Placement Rates **</b>						
1	Graduates	100%	100%	100%	100%	100%
2						
3						
4						
5						
6						
7						
8						
<p>* For each licensure exam, give the name of the exam above along with the number of students for whom scores are available and the total number of students eligible to take the examination (e.g. National Podiatric Examination, 12/14). In following columns, report the passage rates for students for whom scores are available, along with the institution's goals for succeeding years.</p>						
<p>** For each major for which the institution tracks job placement rates, list the degree and major, and the time period following graduation for which the institution is reporting placement success (e.g., Mechanical Engineer, B.S., six months). In the following columns, report the percent of graduates who have jobs in their fields within the specified time.</p>						
<b>Institutional Notes of Explanation</b>						
a	All students are military officers or federal employees who simply return to their duties.					
b						
c						
d						
e						
f						

**Form S4. COMPLETION AND PLACEMENT RATES FOR SHORT-TERM VOCATIONAL TRAINING PROGRAMS FOR WHICH STUDENTS ARE ELIGIBLE FOR FEDERAL FINANCIAL AID**

	3 Years Prior	2 Years Prior	1 Year Prior	Most Recent Year (201_)	Goal for 201_
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**Completion Rates \***

N/A

1					
2					
3					
4					
5					
6					
7					
8					
9					
10					
11					

**Placement Rates \*\***

N/A

1					
2					
3					
4					
5					
6					
7					
8					
9					
10					
11					

\* List each short-term vocational training program separately. In the following columns indicate the annual weighted average completion rate for the most recent and two prior years. In the final two columns, list institutional goals for the next two years.

\*\* List each short-term vocational training program separately. In the following columns indicate the annual weighted job placement rate for the most recent and two prior years. In the final two columns, list the institutional goals for the next two years.

## **Appendix C**

### **Non-Degree Programs**

#### **Naval Command College**

The presence of senior international officers in CNW seminars contributes to the education of our senior U.S. students. Daily contact with peers from different backgrounds, experiences and outlooks broadens the strategic perspectives of American students and provides insights into the complex nature of multinational operations and the challenges of fostering friends and nurturing allies abroad. This program directly contributes to the College's task to contribute to maritime security cooperation. NCC has increased its size over the years to its current level of 48 students from 43 nations.

#### **Naval Staff College**

The Naval Staff College (NSC) recently discontinued its six-month course and now operates a ten-month course similar to NCC. The presence of intermediate-level international students has the same positive effect on their U.S. peers as previously mentioned. With the dissolution of the NSC-6 month course, the class size has increased to 48 students from 40 different countries.

#### **International Fellows**

International representation on the faculty and staff continues to grow. There is an international officer from the United Kingdom on the faculty teaching in the Joint Military Operations Department. There is also a retired Admiral from Columbia on the faculty who recently completed an extraordinarily successful and impactful term serving as our first, "Chief of Naval Operations Distinguished International Fellow." Additionally, the College has fully implemented the International Fellows program. Under this program, select international officers assume one or two-year faculty positions during which they may conduct research, draft papers, co-moderate seminars and otherwise contribute to the College. There are two international fellows working with the faculty this year representing the nations of Chile and Papua New Guinea. Additionally, International Programs has a staff liaison officer from Japan.

#### **College of Distance Education**

The purpose of the College of Distance Education is to provide Naval War College education programs to naval officers, other service officers, and selected federal civilian employees who cannot attend in residence. The College pioneered non-resident military education in 1914 to connect it directly with officers in the fleet and currently graduates, and provides the JPME Phase I certification, to approximately one thousand students per year through its four non-resident formats, each of which was reaccredited by the Chairman, Joint Chiefs of Staff for Joint Professional Military Education Phase I in October 2009 and will undergo re-accreditation in 2015.

The Fleet Seminar Program (FSP) delivers a seminar-based curriculum taught by adjunct and on-campus faculty members to about 1,200 students annually at Naval bases and stations across the United States. Students attend thirty-four weekly seminars each year to complete each course, typically taking three years to complete the program. The three individual courses that make up the FSP are S&W, JMO and TSDM, and they are derived from, and closely follow; the corresponding courses taken by resident College of Naval Command and Staff students. As noted above, the FSP courses make up the core course requirement of the non-resident Graduate Degree Program.

The Web-Enabled Program delivers a tailored curriculum taught by CDE faculty to cohorts of approximately twenty students via the Internet. Derived from the Fleet Seminar Program curricula, the program is an 18-month, paced program with structured interaction between the students and the instructor as well as between the students themselves, singly or in groups. Each of the three courses require roughly 6-8 hours of work each week, and the requirement to keep pace with the instructor and classmates results in a very high course completion rate. The time required to be actually "online" is minimal, and all online work is asynchronous, that is, not at the same time as in a "chat room." Additionally, there is never a set time that students must be online, so students and professors may be physically located anywhere around the globe.

The CD-ROM based Program is available on a controlled basis to a limited number of students, typically those active duty offers stationed at sea or in remote locations with limited or no internet access. This program, which is also based on a curricula derived from the Fleet Seminar Programs, is built around the model of individual study preceding evaluated assignments. The methodology of this program allows eligible students to complete an independent-study, distance program supervised by CDE faculty in approximately 12-14 months at a pace of 4-6 hours of study per week.

The Naval War College at the Naval Postgraduate School Program (NWC at NPS) provides those officers attending the Naval Postgraduate School the opportunity to complete their JPME Phase I requirement. While conducted in a classroom environment, the curriculum followed closely resembles that of the Web-Enabled Program.

The College of Distance Education is also responsible for NWC's four non-credit awarding, professional military education (PME) courses delivered via the Navy Knowledge Online Portal for officers, enlisted and Department of the Navy civilians. These self-paced courses are designed to provide learners with a 24/7, worldwide PME experience at milestones in their careers. Since the fielding of the first course in 2006, there are currently over 150,000 enrolled students world-wide.

The Primary PME (Officer) and Primary PME (Enlisted) courses, fielded in 2006 and 2007 respectively, are designed to provide a common educational baseline for junior officers (CWO-2 to O-4) and senior enlisted (E-7 to E-9) across the spectrum of professional military education. These courses require approximately 70 hours of individual work to complete and are

prerequisites for Navy officers attending the College of Naval Command and Staff and senior enlisted personnel attending the Navy's Senior Enlisted Academy.

The Basic Enlisted PME course was developed to provide a common PME experience for all Navy mid-grade enlisted personnel (E-5 and E-6). This course serves as the foundation for the Primary PME (Enlisted) course by expanding upon the fundamentals learned through the Introductory Enlisted PME course. Approximately 40 hours of online contact time is required for course completion.

The Introductory Enlisted PME course provides entry level education to junior enlisted personnel (E1 to E4). Presenting a common baseline, the approximately 20 contact hour course provides a fundamental understanding of the Navy and how the Navy fits into the overall national security organization. Students are also introduced to world geography, religions and cultures.

### **College of Operational and Strategic Leadership**

The College of Operational and Strategic Leadership (COSL) aims to improve the capabilities of Navy commanders to lead maritime, joint, and multinational forces as well as improve the capability of Navy staff members to plan, execute, assess and function cohesively as a maritime operations center. COSL supports combat readiness at the operational level of war through the following:

### **Combined Joint Force Maritime Component Commander Course**

The Joint Force Maritime Component Commander Course prepares future three-star officers for duties as Maritime Component Commanders by developing perspectives necessary to articulate effectively the role of the Maritime Component in the design and execution of campaign plans and theater-security efforts. Seminar forums facilitated by senior mentors and assigned NWC faculty facilitate discussion for attendees from all Services.

The Combined Joint Force Maritime Component Commander Course (CFMCC) improves the effectiveness of senior leaders who routinely function together at the operational level by incorporating flag-level peers from partner nations into the student body. Normally, CFMCC courses are conducted with a regional focus in order to develop and deepen relationships based on trust and confidence, to serve as a forum to evolve combined maritime command and control concepts and mechanisms, and to advance the understanding of those security issues facing participants.

C/JFMCC courses are held at least semiannually either at Newport or in the respective theater AOR.

### **Maritime Staff Operators Course (MSOC)**

The Maritime Staff Operators Course (MSOC) provides organizational and individual level education and training in planning, execution, and assessment functions and tasks for Navy

leaders assigned to a Maritime Operations Center (MOC) or other operational level maritime staff. This five-week long course is for Navy Chiefs and officers proceeding to a MOC or operational level maritime staff.

### **The Executive Level Operational Level of War Course (ELOC)**

The Executive Level Operational Level of War Course (ELOC) is focused at the senior leadership (O-6) level, and ensures attendees are properly educated in, and understand the intricacies of, effectively participating in the decision making process and the managing of a Maritime Operations Center (MOC) and its resources.

### **The Maritime Operational Planners Course (MOPC)**

The Maritime Operational Planners Course (MPOC) was taught as a pilot course twice this year. It is an 11-week course designed to develop maritime component staff officers into confident Operational Planning Team leaders. The course uses a hands-on approach to teach the Navy planning process across the range of military operations. Students conduct both crisis action and deliberate planning and develop multiple planning products throughout the curriculum.

### **Senior Enlisted Academy**

The Navy Senior Enlisted Academy provides an opportunity for Chief, Senior Chief, and Master Chief Petty Officers to engage in studies that broaden their educational experience and assist them in fulfilling today's increasing senior enlisted responsibilities. The curriculum is designed to be as demanding, challenging, diversified, and comprehensive as possible. SEA is in the process of shifting to a 100% blended format over the next several months. There are approximately 650 graduates annually.

### **Naval Leadership and Ethics Center (NLEC)**

The Naval Leadership and Ethics Center (NLEC) was established in 2014 and inculcates the fundamental tenets of ethical leadership throughout the naval profession, from Seaman Recruit to Captain. NLEC guides the development of leaders with a strong, abiding sense of their responsibility, authority, and accountability, and commitment to Navy Core Values and the Navy Ethos. NLEC provides leadership education and training, curricula support, leading-edge research, and assessment of leadership effectiveness across the Navy to ensure our leader development activities remain current and relevant.

### **Reserve Officer Program**

The Reserve Officer Program annually conducts two-week resident courses in each of three core subjects for classes of approximately sixty reserve officers. Taught by the resident faculty, each course is closely aligned with the curricula from the CD ROM-based and Web-Enabled non-resident programs. After completing the on-campus course, these reserve leaders are enrolled into one of the nonresident programs to complete JPME Phase 1. This is an

outreach program, designed to accelerate completion of JPME Phase 1 and to acquaint officers in the latter naval and joint community with current trends in national security affairs, strategic analysis, force management, and joint operational art.

### **Center for Naval Warfare Studies**

The Center for Naval Warfare Studies (CNWS) perpetuates Admiral Luce's vision of the College as a place of original research on all matters pertaining to war, statesmanship connected with war, and the prevention of war. Focused on the maritime aspect of national security and defense, the center possesses a range of scholarly and analytic capabilities. It fosters critical and innovating thinking on current and evolving operational challenges of importance for the Navy.

The center directly complements the curriculum at the Naval War College by providing a place for researching important professional issues which, in turn, inform and stimulate the faculty and students in the classroom. Moreover, from its very beginning, the center has linked the Naval War College to the fleet and policymakers in Washington by serving as a focal point, stimulus, and major source of strategic and campaign thought.

Applied research, analysis, and wargaming remain the Center's core activities and they directly support the Navy's future role in three areas: national security strategy; advanced strategic and operational concepts for employment of naval, joint, and multinational forces; and the development of future decision-makers. The CNWS research faculty, along with many academic faculty members, have been involved in several key projects for the Navy and maritime services.