

Faculty Handbook

2024





DEPARTMENT OF THE NAVY

U.S. NAVAL WAR COLLEGE
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NAVWARCOL INSTRUCTION 5300.1

From: President, U.S. Naval War College

Subj: U.S. NAVAL WAR COLLEGE FACULTY HANDBOOK

Ref: (a) OPNAVINST 5450.207E
(b) Naval Education Strategy 2023
(c) CNO memo of 15 April 2022 "Get real, Get Better, Accelerating Warfighting Advantage"
(d) NWC Strategic Plan 2022-2027

Encl: (1) 2024 U.S. Naval War College Faculty Handbook

1. Purpose. To implement a Faculty Handbook which provides policy and guidance for all Faculty assigned to the U.S. Naval War College (NWC). It provides authoritative guidance and serves as a ready reference for faculty members in support of the academic mission. It sets forth the relationship between the institution and the faculty, reflecting transparency, shared governance, and NWC values. This handbook describes the institution's mission and organization, governance, the academic program, academic policies, faculty roles and responsibilities, the recruitment and hiring of faculty, promotion and tenure, professional development, general compensation and benefits, and guidance on administration and resources for faculty. Where applicable, this handbook directs readers to published USNWC Instructions for further details.

2. Cancellation. NAVWARCOLINST 12271.1

3. Scope and Applicability. This instruction applies to all excepted service and military faculty at the Naval War College.

4. Policy. The enclosed handbook is authoritative in that it addresses policy, process, and administrative & management matters central to the mission and core objectives of education, research, and outreach.

a. Reference (a) delineates the authority of the President of the Naval War College (PNWC). The authority of the Provost and other NWC leadership are described in Chapter 1 of the enclosure.

b. As federal employees, NWC faculty are required to review and follow the policies and guidance contained within enclosure (1) of this instruction.

c. A future effort will be to create a three-volume series of NWC Handbooks, which will include this Faculty Handbook, the Student Handbook, and a Staff Handbook.

5. General

a. Summary of Changes. This handbook reflects several changes since the 2019 version. It should be reviewed by all faculty. The significant changes include:

- (1) Reorganized much of the structure to consolidate like topics and reduce redundancy.
- (2) Updates the current Mission, Functions, and Tasks
- (3) Reflects organizational and governance changes since 2019
- (4) Incorporates the NWC faculty promotion and tenure policy
- (5) Incorporates the NWC position recruitment and selection for AD faculty
- (6) Describes the appointment and duties of AD-09 administrative positions for faculty
- (7) Clarifies languages on faculty professional development and sabbaticals
- (8) Clarifies the pre-publication security review process
- (9) Clarifies procedures on the Academic Integrity Review Committee
- (10) Clarifies language on fraternization
- (11) Reflects updates to NWC travel guidance and resources
- (12) Adds two new teaching awards for military faculty, comparable to annual civilian faculty awards
- (13) Reorganized certain information to new appendices
- (14) Modifies NWC attire guidance for faculty

b. Feedback and Revisions. Faculty are invited to provide feedback and input to inform changes and updates to this Handbook. NWC leadership fully embrace the principles of the CNO's "Get Real, Get Better" mindset towards self-assessing, self-correcting, problem solving,

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and learning. Recommendations can be submitted through Deans and Directors, the Faculty Advisory Council (FAC), the Faculty Handbook Committee (when established), or to the Provost (as the Dean of the Faculty and Chief Academic Officer), and the Associate Provost for Faculty and Education.

6. Records Management. Records created as a result of this instruction, regardless of media and format, must be managed per Secretary of the Navy Manual 5210.1 of September 2019.

7. Review and Effective Date. Per OPNAVINST 5215.17A, the Provost will review this instruction annually around the anniversary of its issuance date to ensure applicability, currency, and consistency with Federal, Department of Defense, Secretary of the Navy, and Navy policy and statutory authority using OPNAV 5215/40 Review of Instruction. This instruction will be in effect for 10 years, unless revised or cancelled in the interim, and will be reissued by the 10-year anniversary date if it is still required, unless it meets one of the exceptions in OPNAVINST 5215.17A, paragraph 9. Otherwise, if the instruction is no longer required, it will be processed for cancellation as soon as the need for cancellation is known following the guidance in OPNAV Manual 5215.1 of May 2016.



P.A.GARVIN

Releasability and distribution:

This instruction is cleared for public release and is available electronically via the NWC intranet, https://navalwarcollege.sharepoint.com/sites/intranet/USNWCIntranet/Flag_Admin/SitePages/Command-Directives.aspx

Naval War College Faculty Handbook

7 August 2024



The Naval War College's Strategic Tradition

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

“Strategy is based on immutable principles—principles just as applicable today as when illustrated by the campaigns of the great captains of an ancient civilization. As to naval strategy, in particular, your attention is called to the fact that some of its most valuable work is that which is accomplished in time of peace. This subject also can be mastered only by close study and reflection.”

RADM STEPHEN B. LUCE, USN

Founding President, NWC



The 2024 *Faculty Handbook* updates and entirely replaces the 2019 version.

RECORD OF CHANGES

CHANGE NUMBER DATE ENTERED NAME OF PERSON ENTERING CHANGE

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Chapter I

History, Mission, and Organization

1. History

a. Establishing the Navy's Home of Thought

The U.S. Naval War College (NWC), the oldest institution of its kind, was founded in 1884 with Rear Admiral Stephen B. Luce as its first President. His leadership and vision laid a solid foundation for more than a century of professional development and research—and it all started with desire to better educate the fleet.

b. Rear Admiral Stephen B. Luce

In 1861, while Luce was serving on the faculty at the U.S. Naval Academy, he discovered there was no existing text for seamanship—so he wrote one, and it became the U.S. Navy's standard for more than 50 years.

Later, as Luce rose in rank and his breadth of command—in peace and at war—expanded, he noticed other crucial components missing from the Navy's training and education. For example, he saw there was not yet a procedure to exercise naval tactics nor a unit assigned to examine experimental tactical ideas, so he created both. Then, in 1883, after he recognized a need for preparatory programs for enlisted recruits, Luce established the Navy's first recruit training station at Newport's Coasters Harbor Island.

Perhaps most important, though, was Luce's epiphany that there was no place in the Navy to study the central issue for a professional officer in the armed forces: war. Along with this, technology and science were advancing rapidly—it was a time of "revolution in military affairs"—and Luce knew that learning about metallurgy, chemistry, physics of weapons, and other advances was critical to success in modern warfare.

Luce proposed to the U.S. Department of the Navy his idea of an institution dedicated to the advanced study of war. On October 6, 1884, Secretary of the Navy William E. Chandler signed General Order 325 establishing the U.S. Naval War College, bringing Luce's vision to life.

c. A Timeline: NWC through the Years

(1) The Early Years: Creating a Curriculum

NWC was interdisciplinary from the beginning. Luce understood that the study of war requires original research and scholarship to understand how wars begin, how wars are fought, how wars end, and how wars can be prevented.

He also knew learning about war involved understanding governmental management, finance, decision-making, logistics, campaign planning and tactics, international relations, and grand strategy. Luce found that analyzing these topics involved other disciplines with which most naval officers at the time were unfamiliar: the social sciences, politics, history, management, and international law.

Luce foresaw that game boards could become a key tool that linked the broad analysis of political-military issues with the burgeoning developments in current and future naval technologies. To bring these concepts together, Luce empowered Lieutenant William McCarty Little to develop wargaming at NWC.

Luce also sought to recruit for his early faculty military officers of demonstrated intellectual bent. Among those whom he brought to Newport was Army Second Lieutenant Tasker H. Bliss, who helped Luce to convene the first class of nine students at Naval War College in 1885. Bliss's participation established the precedent of having officers from other services on the faculty and among the students to broaden the perspective. Later, Bliss made use of his experience in Newport when he became the first Commandant of the Army War College in 1901, and in 1919, when he accompanied President Woodrow Wilson to the Versailles peace negotiations.

At the same time, Luce also established the precedent of having civilian academics on the faculty—a practice continued today. With Luce's concept for the College in place, the Naval War College began to make the contributions that established its reputation during the century and a quarter that has followed. The student body gradually grew, and soon, the College had its first students from foreign navies: Sweden in 1894 and Denmark in 1895.

Most famous of all the College's contributions, Captain Alfred Thayer Mahan's lectures on the influence of sea power in the 1880s and early 1890s provided the basis that created an understanding of naval strategy. Mahan's War College lectures, eventually published in book form as *Influence of Sea Power Upon History, 1660–1783*, influenced naval thinking around the globe and for decades to come.

Another groundbreaking thinker was Captain Charles H. Stockton, who published in 1900 the first code of naval warfare; within a decade it became the focus for international discussions and a basis for the modern law of naval warfare. Officers at the Naval War College played a key part in creating the country's first contingency plans for war, some of which were used in the Spanish-American War in 1898.

(2) Early 20th Century

In the early years of the 20th century, the Naval War College was the principal engine behind the creation of operational naval doctrine and the innovation of an operational staff to support flag officers at sea. In addition, the College was the wellspring for the long-term movement that led to the creation in 1915 of a Chief of Naval Operations, with his shore-based naval staff, to advise government leaders in Washington and to give the Navy the professional uniformed leadership it had not previously had.

Following World War I, under the leadership of Admiral William S. Sims (who had commanded U.S. Naval Forces in Europe), the Naval War College staff, students, and faculty looked critically at recent naval operations and began to think innovatively about future operational uses for submarines, aircraft, and amphibious forces.

Continuing through the 1930s, the College made significant contributions to the development of War Plan Orange and the Rainbow plan used in World War II. As Fleet Admiral Nimitz later recalled from his own experience as a student, the Naval War College had examined so many different possible scenarios and possible courses of action for a war in the Pacific that he and his colleagues were surprised only by Japan's employment of kamikaze aircraft.

In 1946, Admiral Raymond Spruance, the victor at the battle of Midway, returned to the Naval War College for his fourth tour of duty and established the College's direction as it entered the Cold War era. During that period, much thought was devoted to the issues of nuclear weapons and multinational cooperation.

(3) Post-World War II

In the 1950s and 1960s, the College led the Navy with innovative ideas for cooperative operations with other navies through the establishment of the Naval Command Course for senior international officers in 1956, the Naval Staff College for intermediate-level international officers in the 1970s, and the convening of regular biennial meetings of the world's chiefs of navies in the International Sea Power Symposia from 1969 onward.

During the 1950s, the Naval War College curriculum adapted to meet the circumstances of the post-World War II and post-Korean War period. Chairs were established to emphasize the attention given to international relations, maritime strategy, military and diplomatic history, international law, and economics. The influence of rapidly changing technology was further recognized in the establishment of military chairs, occupied by senior officers especially qualified in such areas as submarine warfare, electronic warfare, air warfare, amphibious warfare, and surface warfare. The student body grew, with substantial student representation from the Army, Marine Corps, Air Force, Coast Guard, and many mid-career professionals from civilian agencies. This representation is also reflected in our faculty.

In 1972, under the leadership of Vice Admiral Stansfield Turner, a number of significant changes were instituted, including sharpening the curriculum's focus on three academic areas. Over time, the names of the courses have changed slightly, but Turner's general concept has remained over 35 years with concentration on strategy and policy, national security and decision-making, and joint military operations.

During this time, NWC established a full-time, highly qualified teaching civilian and military faculty, adopted case study methodology and a more rigorous curriculum, and emphasized individual student effort. Concurrently, student selection criteria became more stringent.

In 1981, nearly a century after Stephen B. Luce founded the Naval War College as "a place of original research on all questions relating to war and the statesmanship connected with war, or the prevention of war," the Center for Naval Warfare Studies was established for broadly based, advanced research on the naval contributions to national strategy. The Center's work informs and stimulates the faculty and students in the classroom as well as helping to link the College to the fleet and policy makers in Washington.

The College contributed substantially to the thinking behind the "Maritime Strategy" of the 1980s and the conduct of the Gulf War in 1990-91. In 1990, the Naval War College became the first of the nation's staff and war colleges to reach academic standards that allowed for formal academic accreditation, leading to the authority to award its students a Master of Arts degree in national security and strategic studies.

In 1998, the College formed the Navy Operational Planners Course (NOPC) to develop strategic and operational leaders with the skills required to plan, execute, and assess combined, joint, and naval operations. This 13-month resident program, completed in conjunction with the Intermediate-level curriculum, was a sister-school to second year advanced intermediate level schools founded years before by the other services, including the Army's School of Advanced Military Studies (SAMS), the Air Force's School of Advanced Air and Space Studies (SAASS) and the Marine Corps' School of Advance Warfighting.

(4) 21st Century

In the first years of the 21st century, the Naval War College's responsibilities expanded from its traditional focus on intermediate and senior-level officer professional military education to

responsibility for all professional military education for all enlisted personnel and all officers within the U.S. Navy.

During the 2006-2007 academic year the College initiated a major change to the academic program. The College bifurcated the curricula of the Intermediate-level and Senior-level courses into two distinct programs. The courses offered by the three core teaching Departments for the Intermediate-level program became Joint Maritime Operations, Theater Security Decision Making, and Strategy and War while those in the Senior-level program were Joint Military Operations, National Security Decision Making, and Strategy and Policy.

In October 2006, the College began to serve as executive agent for the Chief of Naval Operations' Navy Professional Reading Program, which established lending libraries of significant books at over 1,200 ships, squadrons, and commands around the world.

In 2007, NWC established the College of Operational and Strategic Leadership (COSL) in response to the broadened span of professional military education responsibilities; COSL developed and delivered advanced courses for selected groups of flag and general officers.

In 2007, the Navy Operational Planners Course (NOPC) expanded from one seminar to two seminars to better meet the demand for its graduates. In 2009 the College renamed NOPC to the Maritime Advanced Warfighting School (MAWS), a change made to better align the school with the schools of the other services.

In October of 2011, CNO Roughead initiated the Distinguished International Fellows program which brought four graduates of the international program and who served as heads of Navy in their countries, back on to the faculty.

At graduation in June of 2016, the College first offered two distinct master's degrees to reflect the differentiation of the College's curricula, with Senior-level graduates receiving an M.A in National Security and Strategic Studies and Intermediate-level graduates receiving an M.A in Defense and Strategic Studies.

In 2017, the College of Operational and Strategic Leadership was disbanded. Its role would be shared by the newly created College of Maritime Operational Warfare and the College of Leadership and Ethics.

In November of 2017 the College established a policy for academic tenure for faculty. Promulgation of processes regarding the new tenure system occurred in 2018 and 2019.

In March of 2020, the College faced the challenges created by the COVID-19 pandemic. This required the College to rapidly shift its in resident education and research programs from the classroom to remote learning. This resulted in the awarding in June of 2023 of a Meritorious Unit Citation to the College for its efficiency and resiliency during the pandemic.

2. Mission. The mission of the US Naval War College is to educate tomorrow's leaders, inform today's decision makers, and engage with allies and partners on all matters of naval power in order to preserve the peace, respond in crisis, and win decisively in war.

3. Functions.

a. Educate and Develop Leaders. USNWC provides professional military education (PME) programs as a graduate level institution supporting the Navy's Future Leader Development and Professional Military Education Continua. The desired effect is to create leaders who are operationally and strategically minded critical-thinkers and who are proficient in joint and interagency matters; and

skilled naval and joint warfighters who are prepared to meet the strategic and operational level-of-war challenges.

b. Support Defining the Future Navy and Associated Roles and Missions. USNWC conducts research, analysis and gaming to support the requirements of the Secretary of the Navy (SECNAV), the Chief of Naval Operations (CNO), the combatant commanders, the Navy component commanders, the Navy 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, timely and relevant research, analysis and gaming that anticipates future operational and strategic challenges; develops and assesses strategic and operational concepts to address those challenges; and assesses the risk associated with these concepts. USNWC will provide operational concepts, analytic products and briefings that provide knowledge to Navy and Department of Defense (DoD) leadership to help shape and inform key decisions and contribute effectively to the public discourse on U.S. national security and defense policy.

c. Support the Navy During an Era of Strategic Competition. USNWC conducts operational level-of-war activities to support the ability of the Navy's Joint and Combined Force Maritime Component Commanders and Navy Component Commanders to function effectively in an era of technological change and peer competition as operational commanders. This effort includes support for joint force commanders, Navy component commanders, Navy numbered fleet commanders and type commanders as they engage in planning, analysis, assessment and wargaming to anticipate and address emerging and current warfighting requirements. The desired effect is to improve the capability of Navy commanders to lead maritime joint and combined forces along with their staff members to plan, execute and assess force employment options to function effectively as an operational level maritime staff and maritime operations center.

d. Strengthen Global Maritime Partnerships. USNWC brings together flag, senior-level and intermediate-level naval leaders from other countries to foster understanding, encourage friendship and build greater trust. This increases the naval capabilities and capacity of allies and partners by educating their future leaders in techniques to conduct operational planning, methods for commanding and controlling coalition forces and strategies to address common challenges to maritime security and governance. The desired effect is to solidify relationships with America's maritime partners and foster greater interoperability with their naval forces.

e. Promote Ethical Leadership Across the Force. USNWC fosters and supports development of ethical leaders across the Navy. This effort includes supporting Navy communities in their leader development and maintaining a strategy for leader development beyond major command. The desired effect is a fully integrated and Fleet-executed Navy Leader Development Continuum, which produces leaders of character who are prepared to lead effectively in the complex global security environment.

4. Organization

a. Status and Command Relationships. NWC is a shore activity in an active, fully-operational status under the command of a President who reports to the CNO for mission accomplishment, broad policy guidance, and governance. The Deputy Chief of Naval Operations for Warfighting Development (OPNAV N7) serves as NWC's resource sponsor and the Deputy Chief of Naval Operations for Manpower, Personnel, Training and Education (OPNAV N1) serves as the NWC budget submitting office (BSO).

(1) Echelon

(a) Chief of Naval Operations

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

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

b. NWC Relationships with other Navy Commands

(1) NWC hosts the following tenant activities:

(a) Office of Naval Intelligence Detachment

- 1.** Parent command is Office of Naval Intelligence, Washington, D.C.
- 2.** Support provided is administrative, workspace and various other categories of assistance.
- 3.** Support received is intelligence expertise for NWC's wargaming, research, warfare analysis, and advanced operational planning programs.

(b) NWC Naval Reserve Unit

- 1.** Parent command is NWC.
- 2.** Support provided is administrative workspace, and various other categories of assistance.
- 3.** Support received is Reserve manpower.

(c) Naval War College Museum

- 1.** Parent command for museum personnel is Naval History and Heritage Command (NHHC), Washington, D.C.
- 2.** Parent command for the museum is NWC.
- 3.** Support received is museum and curatorial services, to include the delivery of educational content, which is synthesized with the curriculum of the NWC in a broad variety of formats, to include the display, preservation, and interpretation of historical art, artifacts, and photos for exhibit at the NWC and in other appropriate venues.

(d) Navy Band Northeast

- 1.** Parent command is Fleet Band Activities, Millington, TN.
- 2.** Support provided is exercise of operational command, administrative, workspace, and various categories of assistance.
- 3.** Support received is band services.

(2) NWC receives base host support from:

(a) Commanding Officer, Naval Station Newport, RI

- 1.** Parent command is Navy Region Mid-Atlantic, Norfolk, VA.
- 2.** Support received is reimbursable and non-reimbursable common administrative and logistical support services.

(b) President, Naval Postgraduate School (NPS), Monterey, CA

- 1.** Parent command is CNO, Washington, D.C.
- 2.** Support received is non-reimbursable common administrative and logistical support services.

(c) Commander, Navy Region Mid-Atlantic

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

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

(d) Naval And Other Service Commands Located In Off-Site Instructional Areas

1. Parent commands vary.

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

c. NWC Leadership Organization

(1) Responsibilities and Authorities. The responsibilities and authority of all key personnel at the NWC, from the PNWC, Provost, Associate Provosts, the Vice President/Chief of Staff, Deans, Deputy Deans, Associate Deans, Assistant Deans, and Department Chairs/Directors, faculty, and non-academic department heads, are described in the NWC Alignment Memorandum and in the organization chart (Appendix B). Functional alignment and duties are comparable to those at a civilian academic institution, with some variations due to the military nature of the NWC. The senior leadership team of the NWC consists of the PNWC, the Provost, the Vice President/Chief of Staff, Deputy Chief of Staff, and Deans. Below this level there is an expanded management group, described below, that includes the Associate Provosts, Deputy/Associate/Assistant Deans, Department Chairs, Directors, Department Heads, and Advisors to the PNWC.

(a) President. The President of the Naval War College (PNWC) is accountable for all operations of the NWC and is responsible for curriculum and research activities that enhance the professional capabilities of its students to make sound decisions in command, staff and management positions in naval, joint, and multinational environments. The PNWC exercises oversight across all elements of the NWC, subject to policy guidance from the CNO. The PNWC holds regular meetings with appropriate members of the senior leadership team and expanded management group in which the philosophy, policies, and issues facing the NWC are discussed. The PNWC also maintains professional contact with military and civilian institutions of higher learning and research in the United States and around the world. In addition to personal staff, the PNWC is advised by the Staff Judge Advocate, the Comptroller, the Equal Opportunity Officer, the Command Master Chief, the Director of Protocol, the Inspector General, the General Counsel, the Command Career Counselor, and the Service advisors.

(b) Provost. The Provost is the principal civilian deputy to the PNWC and is responsible for the efficient accomplishment of missions and functions and effective employment of the faculty, academic staff, civilian personnel, and student body. The Provost will concurrently serve as the Senior Vice President (SVP), Chief Academic Officer (CAO), and Dean of Faculty (DoF). The Provost acts as the chief executor for the PNWC and assumes the nonmilitary responsibilities the absence of the PNWC. As the Chief Academic Officer, the Provost, in coordination with the Deans, is responsible for exercising effective oversight of and responsibility for the quality and delivery of the academic programs, as well as reaccreditation processes of the Chairman of the Joint Chiefs of Staff (CJCS) and the New England Commission on Higher Education (NECHE). The Deans are responsible to the Provost.

1 Associate Provost for Education and Faculty. The Associate Provost for Education and Faculty is responsible for faculty and education policies as well as for overseeing advisory board, accreditation, and institutional assessment processes on behalf of the Provost. The Associate Provost for Education and Faculty will co-chair a Curriculum Coordination Council with the Dean of Academics (or a designated representative) and lead the NWC Strategic Plan's Education line of effort. The Associate Provost for Education and Faculty is also NWC's designated Federal Advisory Committee liaison and responsible for compliance with the Federal Advisory Committee Act. All faculty

personnel actions run through the Associate Provost for Education and Faculty. This position is aligned under the Provost.

2 Associate Provost for Research. The Associate Provost for Research is responsible for coordinating cross-campus Navy relevant research efforts and representing the NWC externally on research-related activity to the Navy, within the Naval University System (NUS), Joint Professional Military Education (JPME), Department of Defense (DoD), and civilian academic communities, think tanks, philanthropic institutions, and defense industry. The Associate Provost for Research will provide oversight of the Hattendorf Maritime Historical Center, cochair the NWC Research Council with the Dean of Center for Naval Warfare Studies or a designated representative and lead the NWC's Strategic Plan Research line of effort. This position is aligned under the Provost. This position is new and therefore the duties/ responsibilities are still evolving and may be superseded by future NWC instructions or memos.

3 Associate Provost for Academic Services. The Associate Provost for Academic Services is the result of examining other institutions best practices, providing more comprehensive services to faculty and students, and realigning disparate academic service and support functions. The Associate Provost for Academic Services will assume responsibilities for cross-campus academic services to resident, low-resident, and non-resident students, academic program participants, faculty, and staff. The Associate Provost for Academic Services will oversee the registrar (formerly under the Dean of Students), Library (formerly directly under the Provost), Writing Center, the Teaching Center (both formerly under the Dean of Academics), the Archives (formerly under the College of Leadership and Ethics), and education technology services (learning management system) (formerly under the College of Distance Education), and will assume responsibility for Room Scheduling of academic (classroom) spaces across the college (formerly performed by Events/Room Scheduling). The Associate Provost for Academic Services will partner with the Dean of Students (DOS) in development of supporting academic policies; together they will coordinate with the Associate Provosts, Deans, Directors, Service Advisors and Agency Representatives on provision of academic technologies, library, teaching, writing, archival, classroom spaces, and learning commons services. The Associate Provost for Academic Services will co-chair the Academic Excellence Council with the DOS and co-lead the NWC's Strategic Plan supporting "organizational excellence" effort with the DCOS. This new position is aligned under the Provost. This position is new and therefore the duties/ responsibilities are still evolving and may be superseded by future NWC instructions or memos.

5 Director of Alumni Affairs. The Director of Alumni Affairs is responsible for engagement and outreach with graduates of the NWC, in coordination with multiple NWC offices, especially the International Programs Office, the Dean of Students, and the College of Distance Education. These responsibilities include raising awareness of NWC alumni, enhancing graduate lifelong learning programs, maintaining an accurate alumni database and supporting the planning of symposia for U.S. and international alumni. Serves as lead for the NWC Strategic Plan's Outreach line of effort and reports to the Provost.

(c) Vice President/Chief of Staff/Chief Operating Officer. The position of Vice President/Chief of Staff is a multi-role position. First, the Vice President/Chief of Staff, the second most senior military member of the College, serves as principal military advisor to the PNWC and, in the absence of the PNWC, serves as the commander. Next, the Vice President/Chief of Staff serves a traditional chief of staff role and is responsible for the smooth and efficient operation of the PNWC's personal staff and military and civilian staff on a day-to-day basis. Finally, the Vice President/Chief of Staff, acting as the NWC Chief Operating Officer, is responsible to the PNWC for providing a variety of facilities, maintenance, and support services to the academic, research, leadership, international, and student components of the NWC.

1 Deputy Chief of Staff (DCOS)/Director of Mission Support. This senior civilian GS-15 position provides continuity of operations to the NWC. The Deputy Chief of Staff maintains oversight of the Facilities, Logistics, and Safety Departments, the Graphics Department, the Major Events and Visitors Department, Contracting, the Special Security Department, and Security. As the senior GS employee, all GS/WG/WS personnel actions flow through the DCOS. Co-lead with the Associate Provost of Academic Services for the NWC Strategic Plan supporting the “organizational excellence” effort.

2 Director of People. The Director of People is a senior leadership position responsible for overseeing and managing all aspects of human resources and talent management for the NWC military, civilian, and contracted workforce, (including faculty, staff, administrators and contractors). The Director of People plays a pivotal role in creating and implementing human resource policies and practices that align with the college’s mission, values, and goals. The Director of People reports to the COO, and has active coordination with the Civilian Human Resource Office, the Military Personnel Office, the Associate Provost for Education and Faculty, the Chief of Staff and Service Advisors, and the Contracting Office. This position is new and therefore the duties/ responsibilities are still evolving and may be superseded by future NWC instructions or memos.

3 Director of Strategic Planning and Engagement. The Director of Strategic Planning and Engagement is responsible for overseeing the development and assessment of the NWC Strategic Plan. The Director will also plan and assess key leader engagement activity as it relates to the Strategic Plan objectives. The Director will maintain external relationships with Offices of the Secretary of the Navy, the Chief of Naval Operations, Office of Legislative Affairs and other senior leaders offices within the Department of the Navy, DoD, Federal Departments, and Non-Federal Entities. Internally, the Director will coordinate key leader engagements with the DCOS, the appropriate Deans, Directors, Service Advisors and/or Agency Representatives and the Alumni Director. The Director of Strategic Planning and Engagement will be the lead author on the NWC Annual Report, and reports to the COO. This position is new and therefore the duties/ responsibilities are still evolving and may be superseded by future NWC instructions or memos.

(d) Dean of Academic Affairs. The Dean of Academic Affairs is responsible for the development and teaching of the in-residence Master's degree and intermediate- and senior-level JPME programs. The Dean of Academic Affairs is organized into three principal academic departments: Strategy and Policy (S&P), National Security Affairs (NSA), and Joint Military Operations (JMO), each responsible for a corresponding academic course in both the intermediate- and senior-level curricula. Additionally, the Dean of Academic Affairs oversees several special programs: the Maritime Advanced Warfighting School (MAWS), the Advanced Strategist Program (ASP), and the Center on Irregular Warfare and Armed Groups (CIWAG). The electives and Graduate Certificate (Ethics in Emerging Military Technology, Graduate Certificate in Maritime History, Stockdale Leadership Development Concentration) programs are run through Dean of Academic Affairs by the Associate Dean. The Dean of Academic Affairs jointly oversees and administers the Perspectives on Modern War (PMW) course with the Dean of the College of Leadership and Ethics, and the Advanced Research Project groups (Halsey, Gravely) with the Dean of the College of Naval Warfare Studies. The Associate Dean of Academics, the Deputy Dean of Academics, the Chairs of the core academic departments, and the Directors of the Maritime Advanced Warfighting School, and the Advanced Strategist Program report to the Dean of Academics. Specifically, the Dean of Academics is responsible for the following:

1 In coordination with the Provost and the Associate Provost for Education and Faculty ensure that policies are implemented to advance a set of resident U.S. and international academic programs that meet the standards of the CJCS Officer Professional Military Education Policy (OPMEP) and NECHE.

- 2** In collaboration with the Provost, and the Associate Provost for Education and Faculty, assist in exercising effective oversight of and responsibility for periodic reaccreditation visits by representatives of the CJCS and NECHE.
- 3** Overseeing and coordinating all JPME/M.A. academic matters, including course content, teaching methodology, and scheduling in the College's resident JPME programs.
- 4** Overseeing the preparation of JPME/M.A. course syllabi for resident academic programs.
- 5** Providing for a comprehensive and effective assessment and evaluation of JPME/M.A. programs and faculty and student performance within them.
- 6** Exercising effective oversight of the JPME/M.A. Programs for Joint Education.
- 7** Providing effective oversight and overall coordination of the military and academic chair holders' program, and the Regional Studies Groups.
- 8** Overseeing the planning and execution of professional and academic outreach programs related to JPME/M.A.
- 9** Academic programs, curricula, policies, standards, teaching methodologies and scheduling of courses and programs outside of the Dean of Academic Affairs will be the responsibility of the Dean for that specific college.
- 10** In consultation with the Provost, and Associate Provost for Education and Faculty, exercise control over adjunct faculty contracting, and full-time faculty recruitment, selection, hiring, assessment, and tenure and promotion processes for Dean of Academic Affairs faculty.

a *Academic Department Chairs.* Academic Department Chairs are responsible, subject to the guidelines and direction of the Dean of Academics, for planning, developing, and preparing the resident JPME courses of study for the College of Naval Warfare and the College of Naval Command and Staff and special courses of study for the Naval Command College, the Naval Staff College, and others as approved by the PNWC or Provost. The Chairs are responsible for coordinating the development of relevant curriculum material with the other departments for integration among courses of study within the NWC; ensuring the selection, procurement, and distribution of requisite texts, selected readings, and materials necessary for the conduct of the courses of study; supervising the faculty in the conduct of the courses of study to ensure maximum coordination and effectiveness; leading regular meetings to solidify course planning and course development; supervising faculty and providing timely assessments of faculty performance; recruiting new civilian faculty members and making nominations for faculty positions to the Provost via the Dean of Academics; conducting planning and liaison to provide guest lecturers and other guests with curriculum information; maintaining contact and liaison with key military and civilian defense, industry, and educational representatives to assist the Provost and Dean of Academics in the academic activities of the NWC; providing membership to the Academic Policy Board (see paragraph 3e(1)(a)); and performing other duties as designated by the Provost or Dean of Academics.

b *Associate Dean of Academics/Director of Electives.* The Associate Dean of Academics reports to the Dean of Academics. The Associate Dean designs the Elective Program, establishes policies subject to the guidelines and direction of the Dean of Academics, and ensures that the program maintains the highest academic standards for the resident program. The Associate Dean manages NWC graduate certificate programs, including coordination with individual certificate program directors. The Associate Dean oversees scheduling, student enrollment, and general curricular matters concerning student advanced research projects within the Center for Naval

Warfare Studies that account for Electives Program credit. Per discretion of the Dean of Academics, the Associate Dean may serve as the Acting Dean of Academics during the absence of the Dean of Academics.

c *Deputy Dean of Academics.* The Deputy Dean of Academics assists the Dean in duties including oversight for administrative, personnel, and financial issues related to DAA. The Deputy Dean is the Chair of the annual capstone event, the Current Strategy Forum (CSF), and also serves as the Gift Funds manager.

(e) Dean of the College of Distance Education. The Dean of the College of Distance Education (CDE) is responsible for establishing suitable policies for the College's non-resident JPME programs that will facilitate the accomplishment of the College's missions, functions, and tasks in the context of the needs of the leadership of the Navy and reports directly to the Provost. CDE academic department chairs and program managers are responsible to the Dean. The CDE Academic Department Chairs are responsible for the planning, developing, and preparing of the core JPME courses to support the NWC distance education programs, and prepare and administer these courses via appropriate distance learning methodologies; ensuring the selection, procurement, and distribution of requisite texts, selected readings, and materials necessary for the conduct of the CDE courses of study; supervising faculty in the conduct of the courses of study to ensure maximum coordination, currency and effectiveness; conducting annual retreats and ancillary meetings to solidify CDE course planning and course development; supervising faculty and providing timely assessments of faculty performance. Specifically, the Dean of the College of Distance Education is responsible for the following:

- 1** Ensuring that policies, and the means chosen to implement them, maintain and advance a set of non-resident U.S. academic programs that meet the standards of both the CJCS OPMEP and NECHE.
- 2** In close collaboration with the Provost, assisting in the exercise and effective oversight and responsibility for periodic reaccreditation visits by representatives of the CJCS and NECHE.
- 3** Overseeing and coordinating all academic matters, including course content, teaching, delivery, and assessment methodologies for non-resident JPME courses.
- 4** Leadership and management of the Navy's online Professional Military Education (PME) program.
- 5** Overseeing the preparation of course syllabi for non-resident JPME programs.
- 6** Providing for a comprehensive and effective assessment and evaluation of non-resident JPME programs as well as faculty and student performance within them.
- 7** In consultation with the Provost, exercising control over adjunct faculty contracting, and full-time faculty recruitment, selection, hiring, assessment, and tenure and promotion processes for CDE faculty.
- 8** Providing opportunity and resources for faculty development (FACDEV) for CDE faculty.

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

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

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

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

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

- 1** Inform and contribute to the Navy's leadership and ethics education.
- 2** Overseeing and coordinating all of CLE's academic matters, including course content and teaching, delivery, and assessment methodologies for resident courses, exportable workshops, and seminars.
- 3** Providing the CNO, via PNWC, with a strategy for leader development beyond major commands through the design and implementation of Flag Officer development courses at the two- and three-star levels.
- 4** Collaborating across the Navy's subordinate communities and schoolhouses to advance the NLDF.
- 5** In consultation with the Provost, exercising control over adjunct faculty contracting, and full-time faculty recruitment, selection, hiring, assessment, and tenure and promotion processes for CLE faculty.
- 6** Providing opportunity and resources for faculty development (FACDEV) for CLE faculty.
- 7** Leading the Naval Postgraduate School Center for Executive Education (NPS CEE) in support of Flag Officer Leader Development
- 8** Coordinating with the United States Naval Academy (USNA)-Stockdale Center
- 9** Coordinating NWC efforts in individual leader and organizational development.
- 10** Exercising control over financial and budgetary responsibilities for the College of Leadership and Ethics in cooperation with the NWC Comptroller.

11 Coordinating with the Dean of Academics regarding curriculum related to satisfaction of the resident students' JPME and M.A. requirements.

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

(g) Dean of International Programs. The Dean of International Programs contributes to and coordinates NWC initiatives to sustain and strengthen navy-to-navy relationships, Joint Security Assistance Training plans, and maritime theater security cooperation, and reports directly to the Provost. The Dean oversees the Directors of the Naval Command College and the Naval Staff College, and the Director of the Maritime Security and Governance Staff Course. The Dean of International Programs closely coordinates international education, research, and outreach activity with the Dean of Academics, the Dean of the College of Maritime Operational Warfare, the Dean of Students, the Dean of the College of Naval Warfare Studies, the Director of Mission Support, and the Directors of the College's Regional Studies Groups (RSG). The Dean of International Programs is responsible for the following:

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

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

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

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

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

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

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

8 Collaborating with the other Deans to coordinate the College's engagement with foreign war colleges.

9 Coordinates with the Director of Strategic Planning and Engagement for all aspects of the College's International Outreach Program.

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

b *Directors of the Maritime Security and Governance Staff Course and International Maritime Staff Operators Course.* The Directors of the Maritime Security and Governance Staff Course (MSGSC) and the International Maritime Staff Operators Course (IMSOC) direct their respective course curricula and coordinate with other departments as necessary; plan and conduct student orientation programs, active sponsor programs, DoD-directed Field Studies Program visits, and liaising with and supported by the Director of Alumni Programs, an active program of alumni relations; train and develop the appropriate staffs; provide responsible fiscal management; oversee the requisite courses of instruction, staff and students; and provide support as necessary to the educational conferences required to support the College's international programs mission.

(h) Dean of the College of Maritime Operational Warfare. The Dean of the College of Maritime Operational Warfare is responsible for establishing and enforcing suitable policies for the College of Maritime Operational Warfare (CMOW) at the Naval War College. The effort is in four main areas: (1) to mentor and interact with all fleet headquarters (and their commanders) in developing operational expertise in command and control in support of combat readiness for the Navy; (2) to serve as the NWC's representative to Fleet Forces Command on all Maritime Operations Center Standardization and Certification efforts; non(3) to manage oversight and execution of the responsibilities assigned to the Naval War College for joint warfighting components of the Navy flag development programs, and (4) in coordination and in support of the Dean of the College of Leadership & Ethics, to plan for, coordinate, and oversee the Naval War College's assumption of increased responsibility for operational leadership education as an element of PME within the U.S. Navy's PME Continuum. The Dean of CMOW is assisted by the CMOW Course and Program Directors. CMOW Directors are responsible, subject to the guidelines and direction of the Dean of the CMOW, for planning, developing, and preparing the CMOW resident and non-resident courses of study as approved by the PNWC or Provost. The Directors are responsible for coordinating the development of relevant curriculum material with the other departments for integration among courses of study within the NWC; ensuring the selection, procurement, and distribution of requisite texts, selected readings, and materials necessary for the conduct of the courses of study; supervising the faculty in the conduct of the courses of study to ensure maximum coordination and effectiveness; conducting ancillary meetings to solidify course planning and course development; supervising faculty and providing timely assessments of faculty performance; recruiting new civilian faculty members and making nominations for faculty positions to the Provost via the Dean of the CMOW; conducting planning and liaison to provide guest lecturers

and other guests with curriculum information; maintaining contact and liaison with key military and civilian defense, industry, and educational representatives to assist the Provost and Dean of the CMOW in their academic activities at the NWC; providing membership to the Academic Policy Board (see Chapter I, section 4e(1)); and performing other duties as designated by the Provost or Dean of the CMOW. Specifically, the Dean of the College of Maritime Operational Warfare is responsible for the following:

- 1.** Plan for, coordinate, execute, and oversee the Navy's C/JFMCC courses which are executive-level PME/JPME for U.S. Joint Force Maritime Component Commander (JFMCC) and international Combined Force Maritime Component Commander (CFMCC) flag and general offices designed to prepare them for theater-level combat, contingencies, crises and peacetime leadership, and enhance their understanding of the operational and strategic levels of war as leaders of Joint and Coalition forces.
- 2.** Plan for, coordinate, execute, and oversee NWC's responsibilities for Operational Level of War (OLW) education in the Maritime Staff Operators Course (MSOC), the Executive Level Operational Level of War Course (ELOC), the Maritime Operations Planner Course (MOPC), and the Maritime HQ Staff Operators Course (MHSC), which provide organizational and individual-level education in planning, execution, and assessment functions and tasks for Navy officers of all ranks assigned to a Maritime Operation Center (MOC) or other operational-level maritime staffs.
- 3.** Plan for, coordinate, execute, and oversee the Assist & Assess Team (AAT) which partners with fleet commanders and Maritime Operation Centers (MOC) staffs, and coordinates with other Navy, joint and interagency, and multinational commands/organizations to enhance the Navy maritime command, control and readiness at the OLW.
- 4.** Develop, as required, additional courses of OLP/OLW educational courses that will contribute/add to the continuum of efforts in support of USN Fleet Commanders with our partners and allies, i.e., the International Maritime Staff Officers Course (I-MSOC).
- 5.** Incorporate advanced warfighting concepts as required based on collaboration within the NWC, particularly with the Center of Naval Warfare Studies (CNWS), and with all applicable organizations outside of the NWC, i.e. the Naval Warfare Development Command.
- 6.** Oversee CMOW curriculum development and activities and ensure the effective and efficient management of CMOW resources.

(i) Dean of the Center for Naval Warfare Studies. The Center for Naval Warfare Studies (CNWS) is the primary research, analysis, and wargaming arm of the NWC. The Dean oversees the development of concepts concerning national security and strategic thought and fosters innovative ideas for the future employment of naval forces in peace and war. These duties include coordinating and directing advanced research activities at the NWC by maintaining active contact with the staffs of the CNO, the Commandant of the Marine Corps, the combatant commanders, fleet commanders, and other U.S. and foreign government agencies. The Dean, through the collective leadership of the CNWS, manages and executes the annual research budget; conducts the College's Title 10 war games and other war games as directed; directs

focused policy studies; coordinates departmental strategic direction; and supports the College's extended reach through conducting professional symposia, conferences, briefings, and the submission of research work for widest publication. The Dean is responsible for publishing the *Naval War College Review* and the Newport Papers, supporting the curricula of the teaching departments, and encouraging faculty, staff, and students to contribute to strategic thought and research. Additionally, the Dean coordinates with the Dean of Academics regarding student advanced research project scheduling and satisfaction of the resident students' JPME and M.A. requirements. The Center for Naval Warfare Studies Dean is assisted by the CNWS Department Chairs. The CNWS Department Chairs are responsible for the planning, development, coordination, and execution of all activities within the departments, to include supervising faculty and providing timely assessments of faculty performance; recruiting new civilian faculty members and making nominations for faculty positions to the Provost via the Dean of the Center for Naval Warfare Studies; managing equipment resources; developing and executing sound budgets; leading respective departments through strategic and operational growth; and maintaining liaison with resource sponsors as well as key military and civilian defense, industry, and educational representatives.

(j) Dean Of Students. The Dean of Students is responsible for all administrative tasks, excluding pay and service records, associated with the resident JPME student body of the College of Naval Warfare (CNW) and the College of Naval Command and Staff (CNC&S). However, the Dean of Students assists all other colleges in their efforts to support any student of the Navy War College. The Dean of Students is responsible for the following:

- 1** The general welfare of all U.S. resident JPME students.
- 2** Coordinating with the Deans, Department Chairs, Service Advisors, and College Directors in developing policy recommendations for the Provost and Dean of Academics.
- 3** Coordinating student involvement in various College committees; serving as the principal advisor for U.S. Navy and civilian students.
- 4** Preparing fitness reports for Navy JPME students and end-of-term letter reports for all civilian students; and monitoring the quality of support services that are available to student personnel. Evaluations or fitness reports for officers in Services other than the Navy are prepared by their respective senior Service advisors.
- 5** Monitoring and improving the quality of all external and community based support services for all students.
- 6** Coordinating U.S. Student quota plan; executing Civilian student application/selection process.

(l) Service and Agency Representatives. The United States military services and other government agencies provide special advisors to the College who represent and supervise their organizations' interests and personnel matters as they relate to the NWC, its missions, and curricula. These representatives are responsible for advising the PNWC on matters pertinent to their organizations, advocating for organization-related matters in the curricula, supporting engagements across the services/organizations and with other services schools, and managing coordination of NWC with their specific organization. The four military advisors are normally

the senior officers in their respective Services assigned to the NWC and report to the PNWC via the Provost. These efforts include serving as the administrative focal point for service students and faculty, including providing personnel administration guidance and support to Dean of Student actions and decisions for service members, managing and mentoring service faculty and students assigned to NWC, serving on committees and advisory panels, and teaching within departments. The representatives from other agencies such as the State Department, the Maritime Administration, the Defense Intelligence Agency, and the Central Intelligence Agency all fulfill similar responsibilities.

The Senior Service Representatives other than the State Department and U.S. Navy, are the immediate supervisors of their respective Students and Military Faculty assigned to the USNWC. Convention has been that non-judicial punishment remains with each parent Service major subordinate element commander, and court martial convening authorities are determined by each Service headquarters, in consultation with PNWC. Senior Service Representatives hold various Military Chair positions. Military Chairs are acknowledged leaders in their respective specialty areas with extensive experience in joint military operations. Military Chair requirements extend beyond normal Senior Service Representative responsibilities. Chairholders are relied upon to provide input to and feedback from their service leadership and key external commands, while remaining current on evolving doctrine and service-specific issues in their specific warfare area. Military Chairs should also serve as a focal point for curriculum development and student research being conducted in specific warfare areas.

1 U.S. Army Senior Service Representative. Designated representative of the Chief of Staff of Army to the President, USNWC. Primary responsibility is to act as a special staff officer to the President and a member of the faculty of the USNWC. The Army Senior Service Representative provides the official U.S. Army perspective in all matters. Serves as the immediate supervisor of all Army Students and Faculty representing their unit commanders respectively: Commander, Student Detachment, Fort Jackson, and Commander, Headquarters and Headquarters Company, United States Army Garrison, Joint Base Myer – Henderson Hall. The Army Senior Service Representative also serves as the administrative focal point for Army students and faculty through the USNWC Army Element Office. As the Tasker H. Bliss Chair of Land Warfare, the Army Senior Service Representative provides an experienced Army perspective to faculty and students in support of research and curriculum development efforts at the college. Provides oversight and assistance to Army Civilians attending the USNWC.

2 U.S. Marine Corps Senior Service Representative. Designated as the representative of the Commandant of the Marine Corps to the President, USNWC. The primary responsibility of the Marine Corps Senior Service Representative is to act as a special staff officer to the President, USNWC, while also serving in a teaching role as a member of the USNWC faculty. The Marine Corps Senior Service Representative also serves as the immediate supervisor for all Marine Corps students and faculty assigned to the USNWC, and as focal point for facilitating connectivity to external Marine Corps organizations and senior leadership. As the Holland M. Smith Chair of Marine Expeditionary Warfare, the Marine Corps Senior Service Representative provides an experienced USMC perspective to faculty and students in support of research and curriculum development efforts at the college.

3 U.S. Air Force Senior Service Representative. Designated representative of the Chief of Staff of the Air Force and Chief of Space Operations, and Commander, Air Force District of Washington to the President, USNWC. Provides Department of the Air Force (DAF) perspective. Primary responsibilities are to act as a special staff officer to the President, and faculty member for USNWC. Additionally, designee is Air Force Element Commander (AFELM/CC) and assumes leadership role as primary point of contact for all Air and Space Force active duty, ANG, and USAFR students and faculty for most

administrative functions such as in-processing, assignments, promotions, performance and training reports, morale and welfare. Additionally, serves as the primary coordinator of USAF/USSF Faculty hiring, and any other requirements or needs unique to the Air or Space Force member and service. Also serves as the George C. Kenney Professor of Air & Space Warfare Chair.

4 U.S. Coast Guard Senior Service Representative. Designated representative of the Commandant of the Coast Guard to the President, USNWC. The primary responsibility of the Coast Guard Senior Service Representative is to act as a special staff officer to the President, USNWC, while serving in a teaching role as a member of the faculty USNWC. The Senior Service Representative will serve as the focal point for facilitating connectivity to external Coast Guard organizations and senior leadership while also assuming the leadership role as the primary point of contact for all Coast Guard active duty students and faculty assigned to the USNWC. As the Coast Guard representative, the Senior Service Representative will collaborate with the USCG and represent the USCG in JPME matters. As the Robert J. Papp Chair of Maritime Security, the Coast Guard Senior Service Representative provides an experienced USCG and Department of Homeland Security perspective to faculty and students in support of research and curriculum development at USNWC.

5 Navy Senior Service Advisor. Appointed by the President, USNWC, serves as primary advocate of Navy students, staff, and faculty. Advisor to the President, USNWC regarding academic and administrative issues pertaining to Navy members across entire college. Coordinates senior Navy representatives of warfare communities such as aviation, surface warfare, submarine warfare.

6 U.S. Department of State Senior Advisor. Designated as the representative of the Secretary of State to the President, USNWC. Primary responsibility is to act as a foreign policy advisor to the President and a member of the USNWC faculty. Provides experienced State Department perspective to faculty and students at the college, while also serving as the primary administrative focal point for all State Department students. Teaches with the National Security Affairs department. Also serves as the Raymond Spruance Chair for Diplomacy and Foreign Policy.

7 U.S. Maritime Administration (MARAD) Advisor. Designated as the MARAD representative to the President, USNWC. Primary responsibility is to act as a Maritime Administration advisor to the President and a member of the USNWC faculty. Provides experienced MARAD perspective to faculty and students at the college. Teaches with the Joint Military Operations department.

8 Defense Intelligence Agency (DIA) Advisor. Designated as the representative of the Defense Intelligence Agency to the President, USNWC. Primary responsibility is to act as a DIA representative to the President and a member of the USNWC faculty. Provides experienced DIA and Intelligence Community perspective to faculty and students at the college. Teaches with the Joint Military Operations department.

9 Central Intelligence Agency (CIA) Advisor. Designated as the representative of the Central Intelligence Agency to the President, USNWC. Primary responsibility is to act as an CIA and Intelligence Community advisor to the President and a member of the USNWC faculty. They are the George H. W. Bush Chair of National Intelligence and teach policy analysis in the National Security Affairs Department and electives on intelligence.

d. Faculty. The NWC is a government institution supported through the federal budget process. The faculty at the NWC consists of military officers and civilian academics, policy analysts, and individuals from other backgrounds. The military faculty comprises officers of the ranks of O-4 to O-6. Civilian faculty members generally hold “excepted” federal-service appointments in the academic rank of

instructor, assistant professor, associate professor, or professor. Adjunct professors are part-time NWC faculty who are specialists in their fields and teach in various NWC departments.

- (1) The Faculty.** The NWC faculty functions similarly to other American academic institutions. The College differs, however, from other institutions of higher education in two significant ways. First, the members of the faculty, as government employees who may have access to classified or controlled information with attendant nondisclosure agreements, have additional responsibilities and requirements in publishing and public speaking than civilian faculties at many academic institutions; however, important rights such as academic freedom and responsibility are strongly protected. Second, because the College is a U.S. Government institution, it must abide by federal law and regulations regarding salary, hiring, promotions, funding, government ethics and standards of conduct, among others.
 - (2) Authority of the Faculty.** Academic privileges, rights, and responsibilities for faculty are established by provisions of Federal Civil Service Statutes or United States Military Regulations rather than by internal, constitutional governance or larger, professional organizations characteristic among those academic institutions having a distinctly different mission. Faculty privileges, rights, responsibilities, and obligations are addressed further in Chapter IV of this handbook.
 - (3) Civilian & Military Faculty Positions.** The positions of President, Dean of Students, Chair of the JMO Department, Directors of NCC and NSC and Director of Combined Maritime Security Cooperation Programs are all held by members of the military. Officers in these positions are not likely to serve more than three years. The Provost, the Associate Provosts, the Deans, Associate/Deputy/Assistant Deans, the Chairs of the S&P and NSA Departments, the Chairs of the CDE academic departments, and the CNWS Departmental Chairs are normally civilians whose lengths of appointment are discussed in Chapter IV.
- e. NWC Governance.** Various external governing bodies provide guidance, direction, support, and oversight to the College. The College also has many internal governance mechanisms in place to provide for appropriate participation of College leadership, staff, faculty, and students in the operations of the College. Beyond ensuring the continued Naval War College reputation for high quality education, these internal and external governance levels help provide transparency to College decision making; enable the faculty's responsibility for curriculum content, quality and effectiveness; provide for student and graduate feedback and input; and ensure the appropriate application of the vast knowledge and experience resident in College leadership, staff, faculty and students.

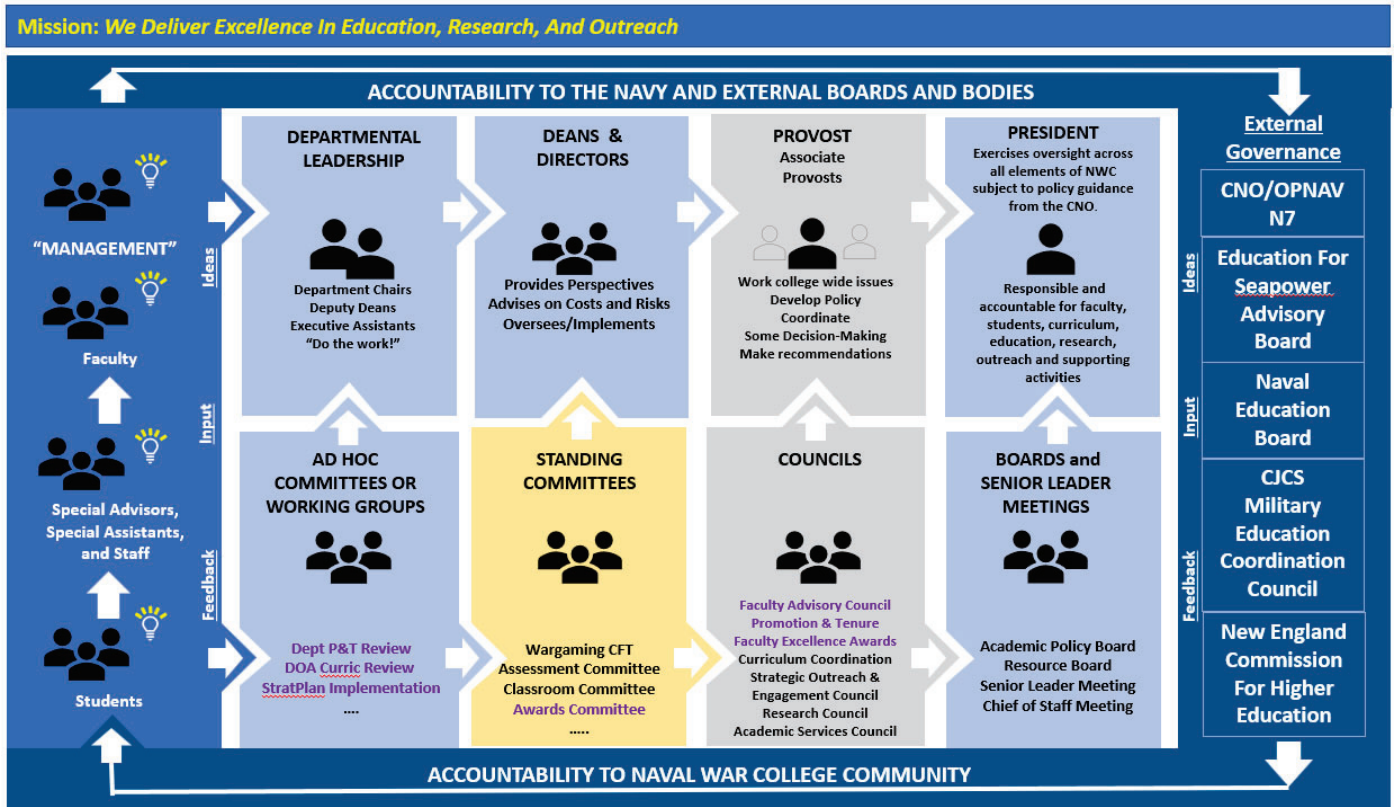


Figure 1 Governance

(1) Internal

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

(b) Resource Board. The Resource Board is established to provide transparency, support College leadership, collaboration, and increase the quality of decision-making concerning strategic resource decisions and associated issues. The Resource Board provides awareness and oversight responsibility for College leadership in dealing with policy, financial, human capital, and other resourcing issues. The Comptroller and the Associate Provost for Education and Faculty co-chair the Resource Board. The principal voting members include the Dean of Academics, the Dean of Students, the Dean of the Center for Naval Warfare Studies, the Dean of the College of Maritime Operational Warfare, the Dean of the College of Leadership & Ethics, the Dean of International Programs, the Chief of Staff/Vice President, and the Deputy Chief of Staff/Director of Mission Support. The Advisors and non-voting members to the

Resource Board include the Human Resources Director, the Director for Military Personnel, the Chief Information Officer, and the Chief of Contracting.

(c) Research Council. The Research Council's purpose is to provide a College-wide coordination function, support faculty research, and make recommendations to College leadership on research related policy and activity in support of the USNWC's mission and strategic plans. Research Council Membership is made up of faculty representatives from each Deanery and leaders from across the NWC. The Associate Provost for Research oversees the Research Council. The Research Council also serves as the reviewing body for professional development submissions and is co-chaired by the Dean of the Center for Naval Warfare Studies (or designated representative) and the Associate Provost for Research. It meets at the behest of the Provost as needed for this purpose. In this role, the Research Council makes recommendations on allocating available funds to support faculty development and sabbatical requests. For more information, see the section in Chapter IV on faculty professional development.

(d) Academic Services Council. The Academic Services Council's purpose is to review, develop, recommend, and revise policies and practices and to realize organizational and academic excellence through coordinating support for continuous improvement across the entirety of the institution in support of NWC's mission and strategic plans and the broader objectives of the Naval University System (NUS). Council membership consists of institutional leadership, faculty representatives from each Deanery, and academic service leaders. The Associate Provost for Academic Services chairs this council.

(e) Curriculum Coordination Council. The Curriculum Coordination Council (CCC) was established to ensure the effective development, maintenance, and enhancement of the College's academic curriculum. The primary purpose of the Curriculum Coordination Council is to foster a high-quality and coherent academic program that aligns with the College's missions, functions, and tasks. The Associate Provost for Education and Faculty and the Dean of Academics or their designated representative will serve as co-chairs of the CCC. The co-chairs will establish the CCC agenda, provide guidance from NWC leadership, and brief the Academic Policy Board.

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

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

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

(i) Strategic Plan Implementation Working Group. The Strategic Plan Implementation Working Group drafts and updates the College's Strategic Plan and then tracks the implementation. The Associate Provost for Education and Faculty chairs the working group and it will include members from each deanery, the FAC, and staff elements.

(j) Ad Hoc Committees. Ad hoc committees consisting of senior administrative team members and faculty are formed to examine important College issues or complete necessary tasks, (e.g., the selection of student prize recipients or accreditation self-studies). Search committees for position hiring actions are an example of ad hoc committees that many faculty serve on.

(2) Shared Governance

(a) Faculty Advisory Council (FAC). The FAC is a consultative and advisory body linking the faculty to the leadership at the Naval War College. The FAC provides advice and recommendations to the President and Provost on issues and concerns regarding education, research, outreach and infrastructure. Moreover, the Council is focused on building trust and transparency in communication processes, promoting cross-college communication and understanding between faculty, staff, and leadership, and providing a strong feedback loop between faculty and administration in order to promote faculty well-being and achieve organizational excellence.

The FAC is comprised of faculty members nominated and elected by the faculty from across the institution. Representation covers all elements within the NWC faculty, including seasoned civilian faculty, military faculty, and junior civilian faculty. Each of the key activities within the institution are represented the number of representatives from each NWC element is dependent upon the size of the faculty population within that element.

FAC members serve two-year terms and are elected by the faculty of their respective organizations within NWC. To ensure fresh perspectives, members cannot serve consecutive terms, but may serve again after a one period hiatus. The periods among the representatives are staggered (half the FAC turns over each year) to ensure continuity in NWC element representation and continuity within the FAC.

(b) Faculty Awards Committees. The Faculty Awards Committees for civilian and military faculty members are committees comprising senior faculty members appointed by the Provost who deliberate on and recommend recognition for outstanding members of the faculty through the awarding of Faculty Awards for Excellence and emeritus status. Recognition is made normally in conjunction with graduation ceremonies but may also be made in connection with retirement. Members will be appointed for a two-year term with one half of the membership rotating each year. Members may be appointed for one additional consecutive term.

(c) NWC Assessment Committee. The NWC Assessment Committee is responsible for developing and making recommendations for assessment procedures and policies related to the assessment of the NWC degree granting programs. Its members are faculty from across the college, with diverse representation from each Deanery. Created in reaction to the initiation of Outcomes Based Military Education (OBME) by the Joint Staff J7, it also has responsibilities

associated with the NECHE accreditation process since NECHE includes outcomes-based education in its standards.

(d) Faculty Promotion and Tenure Committees.

1. NWC P&T Committee. The NWC Faculty P&T Committee is charged with making recommendations for faculty promotion to the Provost as the NWC Senior Civilian and Dean of Faculty. Committee membership will have a proportional representation from each Deanery/Department based on faculty size and availability. The committee will conduct its business with due attention to both transparency regarding process and faculty privacy; each member will sign a non-disclosure agreement to protect the privacy of faculty. Internal committee discussions will proceed based on non-attribution and shall not be disclosed unless authorized by the Provost or PNWC. The committee must have a minimum of seven members, including at least one of the committee's co-chairs, present to achieve the necessary quorum to conduct business. (See Chapter IV, section 10c for more information.)

2. Department P&T Committees. Each department chair or director nominates committee members, approved by the respective dean to screen P&T applications and make P&T recommendations. The departmental P&T committee shall be composed of no fewer than three faculty with at least two of the academic rank higher than the candidate seeking promotion. All departmental P&T recommendations carry by a majority vote.

(e) Faculty Handbook Committee. The Faculty Handbook Committee, when established, updates the current Faculty Handbook to make sure that information and policies are current and relevant.

(f) Wargaming Cross Functional Team (CFT). When formed the Wargaming CFT examines all aspects of educational wargaming at the Naval War College in order to achieve the educational wargaming objectives highlighted in Naval War College's Strategic Plan. The members of the Wargaming CFT include at least one representative from each of the deans. When formed, the Associate Provost for Education and Faculty and one of the College's Senior Mentors will serve as the Wargaming CFT co-chairs.

(3) External

(a) Education for Seapower Advisory Board (E4SAB) and Subcommittees. The Secretary of the Navy established a Board of Advisors to the President of the Naval War College in 1967. This board was reconstituted in 2010 as the Board of Advisors to the Presidents of the Naval Postgraduate School and the Naval War College.

The Secretary of Defense discontinued all advisory committees and boards in January 2021 and directed a zero-based review. The Naval War College Board of Advisors (BOA) was dissolved and members suspended. This review had a direct impact on the advisory boards at each of the Navy University System (NUS) institutions. Advisory boards were eventually validated again in late 2022 and the Education for Seapower Advisory Board (E4SAB) and its subcommittees stood up in 2023 with the approval of the E4SAB Charter.

There are currently three (3) subcommittees that report to the parent E4SAB including the Naval War College (NWC) subcommittee, Naval Postgraduate School (NPS) subcommittee, and the newly established Naval Community College (NCC) subcommittee. The E4SAB and the subcommittees are all subject to the Federal Advisory Committee Act (FACA) (5 U.S.C.).

The Education for Seapower Advisory Board (“E4SAB”), under the provisions of the Federal Advisory Committee Act (FACA) of 1972, as amended, shall provide the Secretary of Defense and Deputy Secretary of Defense, through the Secretary of the Navy, independent advice on matters relating to the Naval Postgraduate School (NPS), the Naval War College (NWC), and the Naval Community College (NCC). These matters include, but are not limited to organizational management, curricula and methods of instruction, facilities, issues of accreditation, and other aspects of the organization and management of the NPS, the NWC, and NCC. The Secretary of the Navy or designated representative, on behalf of the Secretary of Defense, may act upon the E4SAB's advice and recommendations.

The E4SAB shall be composed of not more than fifteen members, who are eminent authorities in the field of academia, business, national defense and security, management, leadership, and research and analysis. All E4SAB members are appointed by the Secretary of Defense, and are appointed to provide advice on behalf of the government on the basis of their best judgment without representing any particular point of view and in a manner that is free from conflict of interest. Those members who are not full-time or permanent part-time federal employees shall be appointed as experts and consultants under the authority of 5 U.S.C. § 3109, and these individuals shall serve as special government employees.

The Education for Seapower Advisory Board Naval War College Subcommittee (“NWC Subcommittee”) is focused on matters concerning the Naval War College and comprised of no more than 10 members. Similar to the E4SAB, members are eminent authorities in academia, business, national defense and security, management, leadership, and research and analysis. There are two non-voting ex officio members ... the Commanding General USMC Training and Education Command (TECOM) and the Deputy Chief of Naval Operations for Warfighting Development (N7). The NWC subcommittee shall meet a minimum of twice annually.

Additional information concerning the E4SAB may be found at <https://www.secnav.navy.mil/mra/E4SAB/Pages/default.aspx>

(b) Naval Education Board. In February 2022, the SECNAV directed the formation of a Naval Education Task Force (NETF) “...to inform how we can better prepare our personnel for the prevailing threats and operating environments of the present and future.” The task force was comprised of senior leaders in education, the military both officer and enlisted, and government. Task force members visited each of the Naval University System (NUS) institutions and made recommendations to the SECNAV in their naval education findings and directed actions.

One of the NETF recommendations was to “establish the Naval Education Board of Senior Leadership for stronger naval education governance.” The Naval Education Board (NEB) Charter was subsequently approved on 5 July 2023. “The NEB is responsible for providing executive-level decision making and (a) unified approach to DON education policies, programs, resources, and processes.” The NEB provides executive-level leadership and reports directly to the SECNAV. Membership includes the SECNAV, USECNAV, Commandant of the Marine Corps, Chief of Naval Operations, and other senior civilian and military leaders. The NEB meets at least twice each year.

(c) Naval Education Steering Committee. The Naval Education Steering Committee (NESC) supports the NEB. “The NESC supports the NEB’s efforts by identifying key issues for NEB decisions and adjudicating and resolving education issues.” The NESC provides education issues directly to the NEB for senior-level review and decision-making. The Assistant Secretary of the Navy for Manpower and Reserve Affairs (ASN(M&RA)) serves as the NESC Chair. The Presidents of each of the NUS institutions are NESC members along with several other key

military and civilian members of the Navy Staff. The NESC meets as required to provide input and identify topics for the NEB agenda.

(d) Military Education Coordination Council (MECC). The MECC serves as an advisory body to the Joint Staff DJ-7 for Joint education issues. It consists of the DJ-7 and the Presidents, Commandants, Chancellors, and Directors of the Joint and Service universities accredited for JPME delivery. The MECC purpose centers on addressing key educational issues pertinent to the Joint education community, promoting cooperation and collaboration across the MECC member organizations, and coordinating joint education initiatives. While the MECC normally meets at least once annually, the MECC Working Group, with a similar representation and organization at the Provost and Dean level meets more frequently (at least twice annually) to support the MECC meeting itself and to work joint education issues.

(e) Others. The College is subject to guidance from Congress as implemented through the Departments of Defense and Navy. The House of Representatives Armed Services Committee's Panel on Military Education has established and monitors a broad set of PME objectives for all Services. The College is also subject to broad guidelines for JPME stemming from congressional and Joint Staff interest. These external initiatives have the potential for determining at least a portion of the College's curricular content, although they would not alter methodology or academic rigor.

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

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Chapter II

Academic Programs

1. Duties. The efforts of the faculty are the principal means through which the College fulfills its missions, functions, and tasks. The study of war, its prevention, and the statesmanship involved with both requires a faculty committed to the study of the integration of all the elements of national power, with an emphasis on maritime military power, in joint, interagency, intergovernmental, and multinational environments. The duties of NWC faculty members are (1) Education; (2) Research; (3) Service to the department, the College, the Navy, or a professional community.

a. Education. Broadly defined as the transmission of knowledge. At NWC, education includes: teaching resident and non-resident NWC students; curriculum development such as designing syllabi and authoring readings, case studies, and exams; producing scholarly lectures and/or multi-media presentations for delivery in the classroom and other educational forums, such as short courses, simulations, and war games; transmission of knowledge to external audiences, such as conducting tabletop exercises, war games, and briefing senior members of the Navy, DoD, and Congress.

b. Research. Broadly defined as the creation of new knowledge. At the NWC, research includes traditional forms of qualitative and quantitative scholarship; development of knowledge through the planning, execution, and reporting of war games and operations research (including classified research); contributing to crafting doctrine, policy, or strategy directed by or supporting the DON or DoD. Research typically results in publication (academic, doctrinal, government reports, etc.) and/or presentations (conference papers, government venues, etc.) and related professional development activities. Research may include participation in professional collaboration that leads to measurable outcomes serving the NWC missions, functions, and tasks.

c. Service. Broadly defined as assisting the department, the College, the Navy, DoD, or professional communities within them. At NWC, service may include contributions to one's academic or professional community, such as outreach and engagement with professional societies; peer reviewing articles and books; serving on committees at the NWC; and services rendered to the Navy, DoD, and broader public. Evaluation of faculty service also considers the candidate's demonstrated ability to work effectively with others in advancing NWC's mission beyond contributions directly associated with education and research.

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

a. Phase I, Joint Professional Military Education. Since 1989, NWC programs have been accredited by the Chairman, Joint Chiefs of Staff (CJCS), to meet Phase I criteria for JPME. Each is measured against standards and specific JPME learning areas and objectives. The governing instruction is described in the Officer Joint Professional Military Education Program directive, CJCSI 1800.01 (series).

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

c. Master of Arts Degree in National Security and Strategic Studies. In October 1990, Congress authorized the NWC to award a Master of Arts Degree in National Security and Strategic Studies to all

qualifying students. This authority was retroactively applied to graduates from 1985 and later. In March 1991, the New England Association of Schools and Colleges (NEASC) accredited the NWC as a graduate-level institution and its Master of Arts Degree in National Security and Strategic Studies. NEASC evaluates academic institutions against a set of eleven standards: Mission and Purposes, Planning and Evaluation, Organization and Governance, The Academic Program, Faculty, Students, Library and Other Information Resources, Physical and Technological Resources, Financial Resources, Public Disclosure, and Integrity. In April of 2001, that authorization was extended to Fleet Seminar students through the College of Distance Education for students accepted into the Graduate Degree Program prior to July 2015. Since July of 2015, the Master of Arts Degree in National Security and Strategic Studies is awarded to all qualifying resident JPME students from the senior course of study. NEASC reaffirmed the College's accreditation in 2015 for a period of ten years. In July 2018, the U.S. Department of Education transferred federal recognition of NEASC's higher education accreditation authority to the New England Commission of Higher Education (NECHE).

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

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

f. New England Commission of Higher Education (NECHE). The figure below summarizes the standards for accreditation for every 10-year assessment of the Naval War College's academic programs:

New England Commission of Higher Education Standards for Accreditation

NECHE is a voluntary, self-governing organization having as its primary purpose the accreditation of educational institutions. Through its evaluation activities the Commission provides public assurance about the educational quality of degree-granting institutions that seek or wish to maintain accreditation. The Standards for Accreditation are:

Standard One: Mission and Purposes

Standard Two: Planning and Evaluation

Standard Three: Organization and Governance

Standard Four: The Academic Program

Standard Five: Students

Standard Six: Teaching, Learning, and Scholarship

Standard Seven: Institutional Resources

Standard Eight: Educational Effectiveness

Standard Nine: Integrity, Transparency, and Public Disclosure

(effective January 1, 2021)

<https://www.necche.org/wp-content/uploads/2020/12/Standards-for-Accreditation-2021.pdf>

g. College of Maritime Operational Warfare Certificates. College of Maritime Operational Warfare Certificates. The College of Maritime Operational Warfare (CMOW) awards certificates for graduates of Maritime Staff Operators Course (MSOC), Maritime Operational Planners Course (MOPC), Executive Level Operational Level of War Course (ELOC), Combined Force Maritime Component Commander Course (CFMCC), Joint Force Maritime Component Commander Course (JFMCC), and Maritime Headquarters Staff Course (MHSC). Additionally, a student who completes either MSOC or MOPC and enrolls in CDE's Naval Command and Staff Online Program is awarded credit for Module 5 (Capstone: Joint Planning Process). Successful completion of the program's other four modules will result in an award of the CDE diploma and JPME-I certification.

h. International Programs Certificates/Diplomas. International Programs awards either certificates or diplomas for graduates in the following programs; International Maritime Staff Operator Course (IMSOC) (certificate), International Introductory War Gaming Course (IWG(I)) (certificate), International Advanced War Gaming Course (IWG(A)) (certificate), Maritime Security and Governance Staff Course (diploma), and the American Studies Program (certificate).

i. Ethics and Emerging Military Technology Graduate Certificate. The Ethics and Emerging Military Technology graduate certificate cultivates expertise in ethical complexities imposed by new technologies. Students examine the ethical and military relevance of leading-edge technologies and apply ethics-based reasoning to the challenges and consequences of rapid technological change. In addition to three electives and LPA, EEMT requires a two-credit professional paper.

j. Graduate Certificate in Maritime History. The Graduate Certificate in Maritime History is a specialized elective track for students who are looking to deepen their expertise in maritime and naval history. Students take three elective courses and in consultation with a faculty advisor, students produce an academic paper on a maritime historical topic of their choice.

k. Stockdale Leadership Development Concentration. Named for Vice Admiral James B. Stockdale, the Stockdale Leader Development Concentration (SLDC) is a cohort-based graduate

certificate program focused on increasing students' capability and capacity for senior leadership. During this year-long, immersive leader development experience students engage in the study of ethics, self-awareness, critical thinking, and mental complexity.

3. Teaching Organization

a. Dean of Academic Affairs.

(1) Strategy and Policy Department. The Strategy and Policy (S&P) Department teaches students to think strategically. Strategy and Policy is the senior-level course (SLC) that examines the strategic dynamics of long wars; employs case studies and leading strategic thinkers to examine diverse types of wars, encompassing a variety of operations and different keys to success; and analyzes the strategic successes and failures of great, regional, and small powers and non-state actors over long periods of time. Strategy and War is the intermediate-level course (ILC) that examines how the overall strategic environment shapes operational choices and outcomes. In turn, the course also examines the strategic effects of operations, exploring how battlefield outcomes change the strategic environment. In both 7-credit hour courses students examine the relationship between a nation's political interests and goals, on the one hand, and the way military force has been and may be used to pursue those goals, on the other. The object is to learn and to practice a process of critical strategic analysis. Major strategic thinkers, fundamental analytic categories, and recurring strategic themes are applied to historical cases and considered in light of present and prospective events. Analysis stresses that the strategic connection between political purpose and military means is an interactive process; that political goals must, if war is used, be matched by an adequate and appropriate strategy; that this involves assessment of the international security environment and one's own and one's adversary's domestic will and military capacity; that civil-military relations must be kept carefully coordinated; that coalitions and alliances have costs as well as benefits; and that war-termination considerations must continuously accompany both policy and strategy.

(2) National Security Affairs Department. The National Security Affairs (NSA) Department offers two 7 credit hour courses that partially fulfill the Master's Degree requirements for the Naval War College: National Security Decision Making (NSDM) for students enrolled in the SLC and Theater Security Decision Making (TSDM) for students enrolled in the ILC. Students study international security, regional affairs, and foreign policy analysis. NSDM is focused on the application of theory to analyze the global system and explain how the US government makes foreign policy decisions. Through NSDM, students develop the ability to analyze the international security environment, develop national security strategies, and improve operating concepts within a political context. TSDM is focused at the theater-strategic level where students intensively study one region of the world and analyze how US government foreign policy decisions impact theater security. Through TSDM, students develop the ability to assess a regional security environment, develop a whole-of-government strategy, and identify capability gaps to advance and defend national interests.

(3) Joint Military Operations Department. The Joint Military Operations (JMO) Department teaches the Joint Military Operations Course in the SLC, and the Joint Maritime Operations Course in the ILC. The curricula for the two 8-credit hour courses are based on enduring principles historically governing military operations updated to the current world situation and stemming from the extant National Security Strategy and the National Military Strategy. The SLC emphasizes issues that must be addressed by a regional, warfighting combatant commander, supporting other combatant commanders and subordinate commanders and supporting staffs. The ILC is directed at those issues affecting operations of the joint task force (JTF) commander, subordinate commanders, and supporting staffs. Both courses seek to develop an entirely new perspective for the students. The entering student's primary background experience is generally in applying a single, discrete discipline within the narrow dimension of a segment of a single-Service environment. The graduating student, on the other hand, has a firm grasp of military/naval strategy and campaigning, including integrated operations with other Services and multinational operations. Students also

understand the linkages between strategy, operations, and tactics, and possess a thorough grounding in the essential elements of military planning and decision making. The operations courses employ a multidisciplinary approach that synthesizes selected concepts from strategy, military decision making, international law and rules of engagement, operational planning, and warfare tasks.

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

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

(6) Electives Program. The Electives Program expands treatment of subjects covered in the core JPME courses, offers subjects not available in the core JPME courses, and generally permits students, professors, and ideas to thrive in a climate of intellectual opportunities. The program’s wide range of course offerings are organized into various Areas of Study. Some Areas of Study may warrant special competencies that can be identified and tracked by the Navy’s personnel system through the assignment of an additional qualification designator (AQD).

Elective courses are selected according to a student’s personal interests, and students may take courses within different Areas of Study. Students may also pursue an individual research project in lieu of a formal elective course on a case-by-case basis. Students also have the option of committing to an Advanced Research Project (Halsey, Holloway, Gravely, Joint Land Air Sea Space, etc.) for the entire academic year for elective credit; these students, along with those enrolled in MAWS and ASP, will take a modified version of the Leadership in the Profession of Arms course that runs outside of the normal Core/Elective schedule.

(a) Resident U.S. JPME Student Participation. All U.S. students and those international officers in the master's degree program are required to enroll in one two-credit elective each trimester. If approved by the Associate Dean of Academics, a student may fulfill this requirement by conducting a two-credit Directed Research Project (DRP) during one of the trimesters the student is not taking the Leadership in the Profession of Arms course. Students may select a specific Area of Study, which may also be associated with an Additional Qualification Designator, or take courses from different Areas of Study during their elective trimesters. Once a student has been assigned to a seat in an elective course, the student will remain in that course for the entire trimester; transfer to a different elective course after the completion of the first lesson will not be permitted except for rare and unforeseen circumstances.

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

(b) Minimum Student Requirements and Workload. All elective courses have a minimum student requirement for assignment of graduate credits. Normally, U.S. resident students and international officers in IMAP will take one two-credit elective course each trimester. The Electives Program shall, for each two-credit elective, be predicated on ten three-hour seminars, plus six hours of reading preparation for each seminar meeting, as well as a written product of fifteen pages (4,200-4,500 words), or a combination of paper(s) and formal presentations that approximates this amount of graduate-level effort. Thus, nine total hours per week, or 90 hours of overall workload, should be committed to each elective.

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

(d) International Student Participation. International officers not enrolled in IMAP may enroll in any unclassified elective, space permitting. International students are encouraged to take one elective per trimester but are not required to take any electives unless enrolled in IMAP. International officers not enrolled in IMAP and who successfully meet at least half of the normal academic requirements of an elective may be awarded one academic credit for the elective course.

(e) Participation of Non-College-Affiliated Individuals. Certain individuals not affiliated with the College may be authorized to audit an elective course on a noninterference basis. All such requests will be subject to space availability in a particular elective course, material availability for study, and the instructor's approval. Such requests will be made in writing to the Electives Office for further review and approval by the Associate Dean of Academics.

(f) Teaching Electives. Members of the resident faculty are encouraged to participate in the Electives Program as articulated in their respective MOU. Courses and the timing of those offerings shall be determined by the Associate Dean of Academics via coordination with the Dean of Academics. Effective participation in the NWC's Electives Program shall constitute substantive and explicit evidence of teaching and curriculum development and warrant appropriate weight by a faculty member's Department Chair, or Director, and Dean.

(7) Perspectives on Modern Warfare Course. Perspectives on Modern War (PMW) is a new course beginning in AY24-25 with the overarching goal to make the educational programs of the Naval War College more agile and responsive to the needs of the joint warfighter in the contemporary and near-future strategic environment. This course is designed to complement the existing core courses and capitalize on the foundations in the core curriculum. The PMW is a mandatory, two-credit hour course which spans the full academic year. The course meets for seminar discussion three days each trimester and incorporates the 2-day annual symposiums (Future Warfighting; Women Peace and Security; and Current Strategy), as part of the PMW curriculum. The course is designed to provide a nimble platform for addressing current events and relevant contemporary joint warfighting topics as well as provide students with an opportunity to engage with the content provided by our senior guest speakers. It also integrates core course concepts across trimesters and provides a learning community experience by keeping students in the same PMW seminar all year long. The course also engages deeply with a single core text which all students are provided to keep. Perspectives on Modern War is taught by faculty from across the entire War College community. NWC faculty guide seminar discussion, grade assignments, and ensure that students actively engage in the entire PMW curriculum. PMW offers students and faculty a unique opportunity to bring together their full NWC experience and apply their analytical skills to the most pressing contemporary national security challenges.

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

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

(2) Naval Command & Staff Online Program. This program leverages internet-based educational technologies to deliver a singular program that consists of a more focused version of the three core JPME courses and the CLE curriculum. These instructor-led asynchronous courses cater to students who prefer online courses and have the necessary internet access with sufficient bandwidth to download large files.

(3) Naval War College at the Naval Postgraduate School. Through a partnership with the Naval Postgraduate School, the NWC delivers a tailored version of the ILC to students at the Naval Postgraduate School in Monterey, CA. The program delivers a series of four elective courses that are embedded in the educational plans of many curricula completed by unrestricted line Navy officers pursuing advanced technical degrees.

- (4) Online PME.** Available 24/7 afloat and ashore via Navy eLearning, four courses provide Navy and joint PME tailored for professional development at career milestones for both the enlisted and junior officer communities. These courses cover such topics as naval history, customs, honors and traditions, doctrine, naval and joint warfare, and regional and cultural awareness, to name just a few. Courses are self-paced with assessment tests following each lesson. These courses are designed to provide maximum accessibility, value, and relevance. Course completion is tracked in both Navy eLearning and electronic service records.
- c. Dean, International Programs.** International Programs (IP) at the Naval War College directly support the development of robust global maritime partnerships. IP emphasizes the “Newport Connection” to enhance trust and confidence and promote cooperation among partner nations. World events confirm the value of developing and maintaining friendships with global partners. Each year, IP brings 100-150 foreign military officers to the U.S. from around the world. They study strategy, warfare, decision making, and operational art. After graduation, NWC continues to strengthen friendship and cooperation by sponsoring periodic alumni regional symposia to further promote multilateral relationships, cooperation, and exchange of ideas to give U.S. Navy regional commanders a unique opportunity to meet and collaborate with these distinguished military leaders.
- (1) Naval Command College.** The Naval Command College (NCC) enrolls senior international officers who attend the College of Naval Warfare core JPME courses alongside, and are fully integrated with, their U.S. counterparts. International students submit papers and participate in most academic exercises but do not take all exams or receive recorded grades unless they have been accepted into and are participating in the International Master’s Degree Program. Upon arrangement with their professors, international students not in the International Master’s Degree Program may, at their own discretion, take exams and receive feedback from their professors. The education for international officers is a blend of the NWC curriculum and Field Studies Program visits. These visits expose the students to the American culture, economy, government, and leaders through a series of scheduled trips throughout the country. Graduates receive a NWC diploma and transfer credit. Additionally, Naval Command College international officers have an opportunity to volunteer for an American Studies Certificate Program enhancing their understanding of the American culture, issues, and government structure.
- (2) Naval Staff College.** The Naval Staff College (NSC) is a program for intermediate-level international officers. The NSC is a ten-month course that fully integrates international students into the College of Naval Command and Staff in a manner similar to the NCC program. Students take exams (some are optional), write research papers, and receive written assessments. Students go on several Field Studies Program visits throughout their academic year. Graduates receive a Naval War College diploma and transfer credit. A Master’s Degree in Defense and Strategic Studies is also available to qualified and selected international students who meet program entrance requirements and who complete the requisite program of study. Additionally, Naval Staff College international officers have an opportunity to volunteer for an American Studies Certificate program enhancing their understanding of the American culture, issues, and government structure.
- (3) Maritime Security and Governance Staff Course.** The Maritime Security and Governance Staff Course (MSGSC) is a five-month in-resident staff course intended to provide international navy, coast guard, and maritime law enforcement officers with the operational knowledge and strategic perspectives needed to effectively conduct maritime security operations, evaluate a complex maritime threat environment, formulate effective maritime security strategies, and achieve good maritime governance at national and regional levels. In addition, students will participate in a Field Studies Program that includes travel around the U.S. The course is designed for mid-grade naval officers but is open to all uniformed military personnel and government officials in the equivalent rank/paygrade of O-3 to O-5 (NATO OF-2 to OF-4).

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

- (a) Capable of comprehending why the military conducts planning;
- (b) Able to understand key planning concepts;
- (c) Able to understand fundamentals of planning;
- (d) Able to comprehend the commander's and staffs' roles in the Planning Process;
- (e) Able to comprehend the steps of the U.S., Navy Planning Process.

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

e. Dean, College of Maritime Operational Warfare. The College of Maritime Operational Warfare (CMOW) provides intermediate and senior-level leadership development and combat readiness programs. Its curriculum centers on the ever-evolving ethical and tactical challenges facing today's naval officers. CMOW aims to improve the capability of Navy commanders to lead maritime, joint, and multinational forces as well as improve the capability of Navy staff members to plan, execute, assess and to function cohesively as a maritime operations center.

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

(a) Tailored Flag Education. CMOW is responsible for all USN Flag Officers that require continuing education enroute to their next duty assignment. The typical three-day agenda is tailored to meet the needs of the commander and focuses on four areas: regional issues at the classified and unclassified levels, war-fighting, leadership and ethics, and MOC processes and procedures relevant to the CSG/ESG commander. CMOW works in partnership with the Director, Flag Officer Management, Distribution and Development branch (OPNAV N00F) regarding flag officer development courses, including the Intermediate Flag and Executive Training Course (IFLEX) and the Advanced Flag and Executive Training Course (AFLEX).

OPNAVINST 1520.43 series outlines additional requirements and responsibilities for flag and executive level training and education.

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

- 1 Develop and deepen relationships based on trust and confidence among partner nations in the framework of regional challenges.
- 2 Serve as a forum to evolve combined maritime command and control concepts and mechanisms and eliminate impediments to effective coordination.
- 3 Advance the understanding of those security issues facing participating nations.

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

- 1 Prepare future three-star officers to serve effectively as Maritime Component Commanders.
- 2 Develop perspectives necessary at the component commander level for Flag and General Officers to gain a high degree of confidence with the concepts, systems, language, and processes to effectively employ naval forces in a joint/coalition/interagency environment.
- 3 Address the practical challenges confronting the Commander at the operational level of warfare in the maritime domain.
- 4 Serve as both a foundation and a catalyst for Navy cultural adjustments to accelerate evolution of JFMCC concepts and capabilities.
- 5 Improve the ability of graduates to articulate the role of the maritime component in the design of a campaign plan to achieve the effects desired by the Joint Force Commander.

(d) Executive Level OLV Course. The Executive Level OLV Course (ELOC) is a weeklong course offered in residence at the NWC and available a minimum of three times a year. It is focused at the senior leadership (O-6) level and seeks to ensure attendees are properly educated in, and understand the intricacies of, effectively participating in the decision making process and management of Maritime Headquarters (MHQ) with MOC resources. ELOC completes the OLV PME continuum of education between MSOC, MOPC and JFMCC. Expectations of an ELOC graduate are:

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

- 2 An awareness of the challenges and dynamics of managing MHQ and MOC resources.
- 3 Knowledge of how to translate Commander's vision and guidance into action.

(2) Staff Officer Course Directorate. The Staff Officer Course team is designed to provide a comprehensive and coordinated approach to MHQ/MOC OLW education. CMOW's Staff Officer Course Directorate comprises of the in-resident Maritime Staff Operators Course and the online Maritime Headquarters Staff Course that which provide organizational and individual-level education in planning, execution, and assessment functions and tasks for Navy officers of all ranks assigned to a Maritime Operation Center (MOC) or other operational-level maritime staffs.

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

- 1 Prepared to immediately and effectively serve on maritime operational level staffs;
- 2 Skilled in providing support to the commander's decision cycle;
- 3 Skilled in using the Naval Planning Process as a key member of an operational planning team (OPT) within a MOC;
- 4 Capable of conducting crisis or contingency planning across the range of military operations and develop plans and orders at the operational level of warfare;
- 5 Capable of planning, exercising and synchronizing operational-level functions: command and control (C2), intelligence, sustainment, movement and maneuver, fires, and protection;
- 6 Capable of managing the flow of information within a staff and among subordinate commands or activities, adjacent components, and higher headquarters staffs while working within a collaborative information environment;
- 7 Able to operate within a battle rhythm and participate effectively in any MOC cross-functional team (board, bureau, center, cell or working group).

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

(b) Maritime Headquarters Staff Course. The Maritime Staff Headquarters Course (MHSC) is a three-week (notional) online course which provides a general understanding of the maritime operational level of war (OLW), Maritime Headquarters / Maritime Operations Center (MHQ/MOC) organizational structure, and MOC processes. It is designed for all MHQ/MOC personnel that participate in MOC processes. MHSC is not a substitute for in-residence MOPC

and MSOC courses offered in residence at the U.S. Naval War College. Specifically, course graduates will be:

- 1** Skillful and proficient members of cross-functional teams within the MHQ/MOC environment.
- 2** Aware of and conversant in the language of maritime operational level warfare, and able to anticipate the support required by the commander and staff elements.

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

- (a)** Excel as a planning team member and lead planning teams addressing maritime planning problems.
- (b)** Conduct Crisis Action Planning or Deliberate Planning across the range of military operations.
- (c)** Write Navy component supporting plans and orders with select annexes.
- (d)** Interact across all echelons of a joint force and effectively represent maritime perspective as a liaison to higher, adjacent, and subordinate headquarters, and participating interagency and multinational forces.

(4) Humanitarian Response Program. The Humanitarian Response Program (HRP) helps to improve the U.S. Navy's and international militaries' effectiveness in conducting humanitarian assistance and disaster response operations through innovative education, research, and simulation activities. HRP partners and networks with leading universities, humanitarian organizations, and agencies in order to advance civilian-military coordination during humanitarian response in complex emergencies and natural disasters. The HRP offers two Electives through the Dean of Academic Affairs in support of the JPME I/II Resident Programs.

(5) Rochefort Group. The Rochefort Group's mission is to ingrain Information Warfare (IW) into CMOW education, provide support to the fleet, and contribute to the advancement of IW to enhance the ability of fleet commanders and their staffs to conduct IW throughout the competition spectrum. Rochefort Group also supports electives and war games held at the Naval War College and regularly participates in speaking engagements.

Chapter III

What to Know About Students

1. Admissions

a. Resident Students

(1) U.S. Military JPME Students. Military students of the College of Naval Warfare (CNW) are Lieutenant Colonels, Colonels, Commanders, and Captains (O-5/O-6), from all Services, with approximately sixteen to twenty-two years of commissioned service, while resident students of the College of Naval Command and Staff (CNC&S) are Majors or Lieutenant Commanders (O-4), with approximately twelve years of commissioned service. The NWC does not directly select its military students. The selection is made by each Service with the criteria within each Service being very similar. In the case of the Navy, candidates for attendance are chosen from officers selected for promotion to Lieutenant Commander, Commander, and Captain (O-4, O-5, O-6). This selection is based on professional performance and a clear potential for higher responsibilities. Recent policy allows a selected number of Lieutenants (O-3) to attend the CNC&S. Navy Personnel Command (NPC) screens these members closely as a BUPERS rank waiver is required. The NWC in conjunction with NPC approves these Lieutenants on an individual basis. Successful graduates of CNW earn JPME phase II credit and a Master's degree in National Security and Strategic Studies. Successful graduates of CNC&S earn JPME phase I credit and a Master's degree in Defense and Strategic Studies. A bachelor's degree is required in order to be eligible for admission to either master's degree program.

(2) Civilian JPME Students. In addition, every academic year, selected departments and agencies are invited to nominate civilian applicants in the grades of GS-14 and GS-15 or equivalent for admission to the CNW and civilian applicants in the grade of GS-13 or equivalent for admission to the CNC&S. Admission for civilian students nominated to the resident program requires a formal application to the NWC. The Registrar and the academic departments screen and recommend applicants based on their academic accomplishments, professional achievements, and their potential to complete the program. The Associate Provost for Education and Faculty is the approval authority for civilian student admission. A minimum of a bachelor's degree and letters of recommendation from the applicant's department or agency is required. Additional requirements for admission may be found on the U.S. Resident Student page of the NWC website (usnwc.edu).

(3) International Students. The Naval Command College (NCC) and the Naval Staff College (NSC) are invitational international programs that align with and parallel the CNW and CNC&S respectively. Approximately 20% of the in-residence officer enrollment at the NWC each year is international. Each year, the CNO extends invitations to the CNO's counterparts in the friendly navies of the world to send officers. NCC is attended by individually-selected Captains and Commanders from friendly Navies and Coast Guards who have been identified as likely candidates for the highest positions of leadership. Colonels and Lieutenant Colonels (O-6/O-5) of non-maritime Services are also eligible to attend but countries are limited to having only one officer at a time enrolled in NCC. NSC is attended by invited and selected international Lieutenant Commanders and some Lieutenants (O-4/O-3) but countries will sometimes have more than one officer enrolled in NSC at a time. Majors (O-4) of non-maritime Services are also eligible to attend NSC. NCC and NSC officers study alongside their CNW and CNC&S counterparts throughout the academic year and are distributed evenly among seminars in order to provide a diverse international perspective for all students.

A few U.S. military officers will be selected each year to be embedded members of the NCC and NSC. This selection is made by NCC and NSC Directors in coordination with Dean of Students and Senior Service Representatives. An opt-in master's degree program, called the International Master of Arts Program (IMAP), is available to selected and qualified international officers in NCC and NSC. Non-master's degree international officers in NCC and NSC will earn an NWC diploma and

have the ability to utilize their earned graduate credits for transfer to master's programs in other colleges and universities.

A critical component of the NCC and NSC international programs is the Secretary of Defense-mandated Field Studies Program. As part of the Field Studies Program, international officers of NCC and NSC will participate in several trips across the U.S. throughout the academic year in order to gain a deeper understanding of the U.S. and U.S. institutions while further developing them for positions of senior leadership at the highest level in their nations. Directors of NCC and NSC will work closely with academic departments when developing FSP schedules in order to minimize missed classroom days.

International officers in the master's degree program will normally not miss more than five classroom days each trimester. Additionally, international officers may choose to enroll in the American Studies Certificate Program for credit. The program provides students with an enhanced understanding of American history and culture throughout the academic year. The curriculum includes a focus on American history, American governance and institutions, including the U.S. Constitution, U.S. government structure, and topical issues the international students may learn about throughout their tour in the United States.

Additionally, the Maritime Security and Governance Staff Course (MSGSC) and the International Maritime Staff Operators Course (IMSOC) are delivered in-residence as organic courses that are neither integrated with or populated by U.S. students. The Maritime Security and Governance Staff Course (MSGSC) is a five-month in-resident staff course intended to provide international navy, coast guard, and maritime law enforcement officers with the operational knowledge and strategic perspectives needed to effectively conduct maritime security operations, evaluate a complex maritime threat environment, formulate effective maritime security strategies, and achieve good maritime governance at national and regional levels. Graduates receive a Naval War College diploma. The international Maritime Staff Operators Course (IMSOC) is designed to produce international officers who are capable of planning, preparing, executing, and assessing complex maritime operations in the maritime environment. The 12-week, in-residence course provides an experiential learning environment for international military officers O-3 through O-5.

(4) College of Maritime Operational Warfare (CMOW). CMOW delivers multiple in-residence courses. Admission requirements and policies for CMOW courses are managed closely by CMOW leadership in coordination with the PNWC in order to continually meet evolving fleet and staff requirements at the operational level of war.

b. Nonresident Students. Students in the rank of Lieutenant/Captain (O-3) or above in the sea Services or Major (O-4) or above in the other Services, and government civilians in the grade of GS-11 (or equivalent) or above may be selected for participation in the College of Distance Education (CDE) nonresident Distance Education Programs. These programs include the Fleet Seminar Program, the Naval Command and Staff Online Program, and the Naval War College-at-Naval Postgraduate School Program. Admission to the Fleet Seminar Program or Naval Command and Staff Online Program requires formal application through CDE. Program Managers screen and select students based on their academic accomplishments and potential to complete the program. A minimum of a bachelor's degree is required. Naval Command and Staff Online students must possess or have ready access to the appropriate computer equipment. The curriculum for these programs is derived from the accredited resident JPME courses and is composed of the same core ILC courses: JMO; TSDM; S&W and CLE. Additionally, there is a growing list of elective courses available through CDE. Students enrolled in the Fleet Seminar Program may be eligible to apply to the GDP upon completion of their first Fleet Seminar Program course to begin work leading to the Master's degree in Defense and Strategic Studies. The GDP Admissions Board reviews all GDP applications and recommends worthy candidates for selection to the Dean of the College of Distance Education, who then makes the final selections. Additional information concerning eligibility requirements and admissions procedures can be found on the GDP page of the

NWC website. Students in the Naval Postgraduate School PME/JPME Program are accepted based on the requirements established by the Naval Postgraduate School.

2. Electives. Resident JPME students may choose a specific area of study or they may choose from a variety of electives from various areas of study (AoS).

a. Auditing. A student desiring to take additional electives may be allowed to do so if class size restrictions permit as an “audit,” subject to the approval of the Dean of Students, the Associate Dean of Academics, the professor of the elective course concerned, and, if appropriate, the student’s Senior Service Advisor.

b. Class Composition. Elective courses will be filled on a first-come, first-served basis; when a class is full, it will be removed from the registration listing. Some seats may be reserved for incoming students for opportunities within each Area of Study. NCC and NSC officers register in unclassified electives separately from CNW and CNC&S students into a number of quotas set aside specifically for international officers in order to enhance the seminar with a more diverse perspective. Those international seats in an elective that go unfilled can be filled by U.S. students.

3. Special Research Program Policy. The NWC offers several special programs that provide resident JPME students opportunities to conduct advanced research at the College. These programs provide enhanced educational experiences for select students. These programs also encourage innovative and critical thinking, contribute to the professional military and national security literature, support high-level military decision making, and have practical value in the area of building trust and confidence and leadership. The programs fall into two general categories: Group Advanced Research Projects and Individual Advanced Research Projects.

a. Advanced Research Projects (ARPs)

Currently, there are five Advanced Research Groups established within the CNWS under the responsibility of the SORD. Each of these groups provides an opportunity for a small group of specially selected students to pursue collaborative research projects on operational and strategic issues of current interest to the senior leadership of the Navy and the DoD. The primary focus of each of the five Advanced Research Groups is as follows:

(1) Halsey Alfa: Examines enduring warfare imbalances of high-intensity conventional warfare in maritime area-denial situations. This group uses iterative, ongoing wargaming and operational analysis as its primary methodologies.

(2) Halsey Bravo: Examines medium-intensity, asymmetric, and anti-access challenges. This group also uses iterative, ongoing wargaming and operational analysis as its primary methodologies.

(3) Holloway Group: Examines enduring warfare imbalances of high-intensity conventional warfare, particularly regarding Russian naval power. This group also uses iterative, ongoing wargaming and operational analysis as its primary methodologies.

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

(5) Mahan Scholars Program: Students participate in individual and collaborative research projects on an issue of strategic relevance to the U.S. Navy and its role in Joint warfare. It consists of a linked program of course work in the core JPME and elective curricula, as well as a group research effort begun in the fall trimester and completed during the spring trimester.

b. Individual Advanced Research Projects. Individual Advanced Research Projects allow qualified students to undertake individual research projects that can substitute for up to three elective courses. These projects, comparable to master's research projects, are subject to review and approval by the Director of Electives and the Research Council. They are supervised by faculty advisors with expertise in the areas studied. Faculty members, including the faculty advisor chosen to guide the student's research and the director of the program, evaluate each ARP proposal and final product. Normally, individual research projects are proposed in the student's first trimester at the College, with preliminary research done in the second trimester. The student's final trimester is then used to complete the research and produce the written product. Individual Advanced Research Projects are extremely rare and will be considered only for students already possessing a Ph.D. and peer-reviewed publications in a field directly related to security studies or for students possessing significant faculty experience in a relevant core JPME course.

For Individual Advanced Research Projects, students participate in their respective research groups as an elective for two trimesters. During one trimester, ARP students participate full-time in their research groups and, unless waived by the Provost, in completing one of the core academic courses as an elective. Each student receives a numerical grade for participation in the ARP that becomes part of their transcript at the College, contributes to the student's class standing, and is credited to their matriculation to the master's degree and JPME requirements.

4. Examination, Grading, Graduation Requirements, and Student Awards

a. Discussion. Examinations and grading are an important part of the educational process. They serve a variety of purposes, the most important of which is to reinforce the learning process. Further, they provide the faculty with an effective means of determining student learning outcomes and the degree to which course materials have been internalized and understood, and they enable the NWC to measure how well its educational objectives are being fulfilled.

b. Policy

(1) Resident Students

(a) Master's Degree Students. All U.S. resident students in the College of Naval Warfare and the College of Naval Command and Staff and those international officers of Naval Command College and Naval Staff College accepted into the Master's degree program, will be examined and graded in the three trimester studies prescribed by JMO, NSA, and S&P, and the program for CLE. The final academic grade will be derived by appropriately weighting and averaging numerical results obtained in the three trimesters. In the Electives Program, students will be graded on a High Pass/Pass/Fail basis. Each student must take one two-credit elective in each trimester in which they are not taking the two-credit Leadership in the Profession of Arms course; students in an ARP, MAWS, or ASP take a modified version of the LPA course. All prescribed, elective, and special program requirements must be satisfactorily completed prior to graduation. Exceptions to this policy will be approved only by the Dean of Academics after administrative review of the particular circumstances involved. Department Chairs and the Associate Dean of Academics are responsible for notifying the Dean of Academics and the Registrar, in writing, immediately upon learning of an incompleteness on the part of a student. This notification will include a statement of circumstances and a departmental recommendation.

(b) International Students not in the Master's Degree Program

1. Naval Command College. Senior-level international students in the Naval Command College are fully integrated in CNW, attending seminars and lectures alongside their U.S. counterparts. They complete class and seminar exercises and writing assignments in JMO and S&P and may choose to complete the exams in JMO and S&P on an ungraded basis. For NSA's NSDM course, international officers are expected to complete one mid-term exam, a final exam or analytic research paper, and participate in the capstone final exercise. The faculty will evaluate all academic work submitted by international students and provide substantive, written

feedback. However, although written feedback is provided for all international students, only those students enrolled in the master's degree program will receive a graded evaluation.

2. Naval Staff College. Intermediate-level international officer students in the NSC course are fully integrated in CNC&S, attending seminars and lectures alongside their U.S. counterparts. They complete class and seminar exercises and writing assignments in JMO and S&W; for NSA's TSDM course, international officers are expected to complete one mid-term exam, a final exam or analytic research paper, and participate in the capstone final exercise. International officers will also participate in CLE's program of academic work. The faculty will evaluate all academic work submitted by international students and provide substantive, written feedback. However, although written feedback is provided for all international students, only those students enrolled in the master's degree program will receive a graded evaluation.

(2) Nonresident Students

(a) Intermediate-Level Program Students. Nonresident students in CDE must complete versions of the core JPME courses of JMO, TSDM, S&W, and CLE that have been derived from and are parallel to the resident program syllabi. These courses have been tailored for optimum delivery through the educational methodology associated with the specific program. Nonresident students will be examined and graded in the core JPME courses as prescribed by relevant syllabi. The final academic grade will be derived by weighting and averaging numerical results obtained in the courses. Completion of electives is not required for nonresident students. Nonresident students in the Graduate Degree Program must successfully complete nine semester hours of elective coursework in an elective area of study approved by the program manager to be eligible for the Master of Arts Degree in Defense and Strategic Studies.

(b) Online PME Students. The Online PME program consists of four courses, available via Navy eLearning. The Primary PME course is designed to take about seventy hours to complete. The Primary PME course is designed for officers in the grades CWO to O-4, senior enlisted leaders in the grades of E-7 to E-9, and their equivalent DON civilians. Students' completion status is tracked in Navy eLearning and electronic personnel records. NWC provides two (2) online PME courses for junior enlisted personnel. The Basic Enlisted PME course (E-5 to E-6) is designed to take about forty hours to complete and the Introductory Enlisted PME course (E-1 to E-4) approximately twenty hours to complete. Both are available online via Navy eLearning. All online PME courses have multiple-choice assessment tests at the end of each lesson. Students must successfully pass each examination before proceeding to the next lesson.

c. Grades

(1) Prescribed Curricula. Each of the NWC academic programs has a required, core curriculum that meets the Navy and joint PME requirements for its respective level. The prescribed curriculum for resident students in the intermediate- and senior-level programs also includes an elective area of study. Students in the nonresident Graduate Degree Program must also complete the elective requirements.

(a) Senior-level PME with JPME Phase II. The academic program consists of a core curriculum, consisting of JMO, S&P, NSA, LPA, and PMW prescribed academic conferences, the Speakers Program, and an Electives Program requirement consisting of two two-credit courses (or three two-credit courses if enrolled in an ARP).

(b) Intermediate-Level PME with JPME Phase I

1. For resident students, the academic program consists of a core course, including S&W, TSDM, JMO, LPA, and PMW prescribed academic conferences, and an Electives Program

requirement consisting of two two-credit courses (or three two-credit elective courses if enrolled in an ARP).

2. Nonresident Graduate Degree Program students complete an academic program consisting of the three core courses administered through CDE's Fleet Seminar Program and nine approved graduate-level semester hours of elective coursework.

3. For all other nonresident intermediate-level programs, the core academic program consists of Theater Security Decision Making (TSDM), Strategy and War (S&W), and Joint Maritime Operations (JMO).

(c) Except for the Electives Program, (which is pass/fail), all work in the prescribed curricula for the intermediate- and senior-level programs will be graded using the following standards:

<u>Letter Grade</u>	<u>Numeric Range</u>	<u>Numeric Equivalent</u>	<u>Description</u>
A+	97–100	98	Work of very high quality; clearly above the average graduate level.
A	94–<97	95	
A–	90–<94	92	
B+	87–<90	88	Expected performance of the average graduate student.
B	84–<87	85	
B–	80–<84	82	
C+	77–<80	78	Below the average performance expected for graduate work.
C	74–<77	75	
C–	70–<74	72	
D+	67–<70	68	Well below the average performance expected for graduate work.
D	64–<67	65	
D–	60–<64	62	
F	0–<60	As assigned	Unsatisfactory work.

(d) Grades assigned by faculty for papers, examinations, exercises, and seminar preparation/contribution will be expressed in whole numbers or in letter grades and their numeric equivalent from the scale above.

(e) Since the grade of F covers a large numeric range, a specific numeric grade between 0 and 59 must be assigned.

1. Student work that is not completed will receive a numeric grade of zero (0).

2. Unexcused tardy student work—that is, work turned in past the deadline without previous permission by the instructor—will receive a grade not greater than C+ (78).

(g) Student work determined to be in violation of the academic honor code will receive a grade of F. The College's AIRC will assign an accompanying numeric grade to the F of between 0 and 59.

(h) Final course grades will be expressed as the unrounded numerical average, to two decimal places, along with corresponding letter grades with pluses or minuses, as appropriate.

(2) Grade Distribution. Historical evidence indicates that a grade distribution of 35–45 percent As and 55–65 percent Bs and below is commonly achieved by the overall NWC student population. While variations from this norm might occur from seminar to seminar and subject to subject, it will rarely reach an overall A to B-and-below ratio of greater than or equal to an even fifty-fifty distribution.

(3) Weighting of Course Components. As a rule, at least 60 percent of a final course grade must be derived from written work. Department Chairs and ARP coordinators will announce the weights attached to each course component (e.g., exams, essays, papers, seminar preparation/contribution) at the beginning of each trimester. It is the responsibility of both Department Chairs and individual instructors to ensure that students understand the weighting of course components and the grading system at the outset of each course.

(4) JPME Resident Course Electives Program

(a) All work in the Electives Program will be graded on a High Pass/Pass/Fail scale using the following standards:

<u>Grade</u>	<u>Description</u>
High Pass	Work of very high quality that is clearly indicative of performance above the average expected of a graduate-level student. Overall work (writing assignments, seminar participation, group project) must equal or exceed “A” level standards (94 or higher) used in Core curriculum.
Pass	Expected performance of a graduate-level student in meeting all course requirements.
Fail	Performance well below the minimum level expected for graduate work, and may include failure to meet all course requirements.”

(b) Elective grades will not be a component of a student’s final academic standing, but satisfactory performance in the Electives Program is required for graduation.

(5) Additional Instructions on Grading for Distance Learning Courses

(a) Intermediate-Level JPME. Students in the Naval Command and Staff Online Program complete written assignments that are evaluated for a grade, in accordance with Chapter III, section 4c, as well as interactive online discussions which are fundamental to their contribution grade.

(b) Primary PME. Online Primary PME (Officer) consists of 135 lessons. The Online Primary PME (Senior Enlisted) consists of 142 lessons. Both courses have multiple-choice assessment tests at the end of each lesson. These tests contain eight questions that are randomly chosen with randomized answer sequencing to minimize compromise. Students are required to successfully pass each examination with a minimum score of 75 percent (six of eight) before being allowed to move forward in the curriculum. Students who do not successfully pass an examination are given the option to retake the exam immediately, or to review the course material before the retest.

(c) Basic and Introductory Enlisted PME. Basic Enlisted PME consists of seventy lessons and the Introductory Enlisted PME consists of twenty-seven lessons. As with the Primary PME courses, both have multiple-choice assessment tests with eight randomized questions at the end of each lesson. Students must successfully pass each examination with a minimum score of 75 percent (six of eight correct) before moving forward in the curriculum. Students who do not successfully pass an examination are given the option to retake the exam immediately or to review the course material before retesting.

d. Special Programs Grading Requirements. A small number of students will participate in ARPs that will be graded according to the same criteria as the rest of the curriculum. Syllabi for Group ARPs and guidance for Individual ARPs will provide specific grading guidance that meets the requirements

outlined in Chapter III, 4c. Students authorized to pursue such special programs are eligible for honors. The grade distribution commonly found in core courses is mirrored in the special programs.

e. Examinations. Closed- or open-book examinations may be administered with or without a time limit in any location designated by an instructor. The work, in all instances, will be exclusively the product of each student's own effort. Assisting or receiving assistance from other students during the examinations is prohibited.

f. Academic Requirements for JPME Graduation

(1) Resident U.S. JPME Students. U.S. resident students in the CNW or CNC&S who earn a final grade of B– or above in each core course (or an approved ARP in lieu of one of the core courses) and who pass each of their elective courses (or each elective if enrolled in an ARP) are awarded the NWC Master of Arts Degree for their respective course of study (National Security and Strategic Studies for CNW; Defense and Strategic Studies for CNC&S) and are also eligible for JPME certification (CNW—Phase II; CNC&S—Phase I). Resident students from the CNW and the CNC&S who complete the three core courses (or an approved ARP in lieu of one of the core courses) with an overall average grade of B– or better and not more than one course grade in the C category and who pass each of their elective courses are eligible for the NWC diploma and the appropriate JPME certification. Earning a grade below a C in any course will result in disenrollment.

(2) International Master's Degree Students. The same academic requirements for graduation that apply to the resident U.S. students also apply to international students (NCC and NSC) enrolled in the master's degree program.

(3) College of Distance Education. Successful completion of the nonresident, intermediate-level Fleet Seminar Program is recognized by the award of the NWC CNC&S diploma and JPME Phase I certification. Fleet Seminar students accepted into the Graduate Degree Program and earn a final grade of B– or above in each core course and pass (a grade of B– or better where appropriate) nine semester credit hours of approved elective coursework are also awarded the NWC Master of Arts Degree in Defense and Strategic Studies. Successful completion of other nonresident, intermediate-level programs is recognized by the award of the CDE diploma and JPME Phase I certification. To earn either the NWC CNC&S diploma or the CDE diploma, a student must complete all core courses with an overall grade average of B– or better and not more than one course grade in the C category.

(4) Academic Credit Policy. A final course grade below 80 is below acceptable standards for the Master's degree and graduate-level work. Students will receive no graduate credit for this coursework and this will be clearly reflected on their official transcripts. This policy applies to both resident and nonresident students.

g. Counseling

(1) Resident Students. Faculty advisors and seminar moderators will provide students with periodic evaluations of their performance. This feedback is particularly important to apprise students of their academic performance. Faculty should make themselves available for consultation with students when required or when asked for by a student.

(2) CDE Students. Fleet Seminar and NWC-at-NPS students should arrange specific counseling sessions with their assigned instructor. Distance learning students enrolled in Online PME courses through Navy eLearning should use the identified CDE point of contact for academic counseling.

h. Statistical Data on Grades. As prescribed in paragraph 4.j.(1)(c) below, Department Chairs will provide students with statistical data on grades at the end of each trimester. This information can be used by students to evaluate their own performance as compared to that of the other students in the class.

i. Review of Grades

(1) Resident Students. Within seven calendar days of receiving a grade, resident students may request an appeal of the grade. Specific procedures for the appeal process are detailed in each academic department syllabus or in supplements thereto. Appeals may ultimately be carried to the appropriate Dean, whose decision will be final.

(2) CDE Students. Nonresident students may appeal grades (within 15 days in the Fleet Seminar Program and three days in the Naval Command and Staff Online Program) to the applicable Department Chair within CDE. Appeals may ultimately be carried through the Dean of the College of Distance Education whose decision will be final.

j. Grades Administration

(1) Department Chairs/Advanced Research Project Directors

(a) Provide the Registrar with the final course grade as the unrounded numerical average, to two decimal places, assigned to each student. Individual academic departments/research groups are responsible for entering their respective grades into the student information system database and informing the Registrar/Associate Provost for Academic Services upon completion. Grades due date will be agreed on between the Dean of Academics and Associate Provost for Academic Services/Registrar and promulgated to the academic departments/advanced research projects at the beginning of the trimester.

(b) Provide each student with a final numerical trimester grade, as the unrounded numerical average to two decimal places.

(c) Within ten days after the final examination, make statistical data on grades available for the information of the students. A department that has mid-trimester grades may choose to provide the mid-trimester statistical data as well.

(2) Associate Dean of Academics. Provides the Registrar and the Dean of Academics with a description of electives and a final elective grade for each student enrolled each trimester (High Pass [HP], Pass [P], or Fail [F]).

(3) Faculty/Staff Member, Special Programs. Provides the appropriate Department Chair and the Dean of Academics with the description of the program and the student grade. This grade will be reported in the format of paragraph Chapter III 4c(1) and comply with the intent of paragraph Chapter III 4c(2) for purposes of grade distribution.

(4) Office of the Associate Provost for Academic Services/Registrar

(a) Maintains a permanent record of all intermediate- and senior-level student grades.

(b) Upon written request from a student provides an official transcript showing numerical and letter grades to other educational institutions where the student may subsequently enroll.

5. Transcripts and Transfer Credit

a. Transcripts. In the case of students (resident or nonresident), upon written request to the Registrar, an official transcript showing numerical and letter grades will be provided to other educational institutions. Non-master's degree students who have not had their NWC credits applied toward an NWC degree, will have their earned academic credits available for transfer to another master's degree granting college or university per that institution's transfer credit policy. International officers not in the master's degree program will earn 5 credit hours per core course (JMO, NSA, S&P, and CLE) and 2 or 1 credit hours per elective depending on elective work submitted.

b. Transfer Credit. The policy of the NWC is not to accept transfer credit for courses completed at another institution in fulfillment of any portion of the resident NWC curriculum. Transfer credit up to nine semester hours as required by the Graduate Degree Program of CDE will be accepted upon the approval of the Graduate Degree Program Manager.

6. Academic Recognition

a. Academic Distinction

(1) Honors are bestowed as recognition of outstanding academic achievement and as a means to further encourage sound scholarship. This honor, based on graduation grade point average, becomes part of the official record, is awarded upon graduation, and appears on the transcript, the diploma, military fitness and evaluation reports, and other documents that convey a student's academic accomplishment. Two categories are awarded for superior scholarship in work leading to the master's degree.

A student whose final grade point average (GPA) stands them numerically within the top 20 percent of the student's graduating cohort—October/November, February/March, and June—will be designated as having earned *distinction*. In determining degrees of distinction within the cohort, a student in the top 5 percent of their cohort will be designated on the diploma and transcripts as having graduated *with highest distinction*, and students comprising the next 15 percent will be designated as having graduated *with distinction*. In no case will a GPA of less than 90 (A-) earn *distinction* status.

(2) Those students participating in tailored curriculum programs, composed of a combination of prescribed courses and special research programs, as approved by the Dean of Academics, may also be eligible for a distinguished graduate designation.

(3) When a mathematical distinction between students cannot be made, the proportions stipulated above may be exceeded.

(4) Successful completion of the Electives Program is a prerequisite to eligibility for either of these honors.

(5) Fleet Seminar students compete for honors in similar fashion to resident students but are compared only within their Fleet Seminar cohort in making this determination. For Naval Command and Staff Online students, *distinction* and *highest distinction* are determined using as a reference the GPA from the most recent resident College of Naval Command and Staff June graduating cohort.

(6) In the case in which students complete graduation requirements through a combination of resident, Fleet Seminar Program, and Naval Command and Staff Online work, the distinction determination will be based on the program in which the student is enrolled at the time of completion.

(7) For cohorts of less than 10 students, determination of *Highest Distinction* and *Distinction* will be calculated by using the average for each category over the past three years.

b. Academic Awards

The Naval War College recognizes student achievement for academic excellence and other exemplary performance in the various courses and programs. Academic awards are based on class standings, writing excellence competition, and other participation in student activities. Most awards are given at an annual Student Awards Ceremony or the graduation ceremonies. A full description of the student awards is provided in Appendix E.

7. Academic Honor Code

a. Background. The NWC diligently enforces a strict academic code requiring authors to credit properly the source of materials directly cited in any written work submitted in fulfillment of diploma/degree requirements. Simply put: plagiarism is prohibited. Likewise, this academic code prohibits cheating and the misrepresentation of a paper as an author's original thought. Plagiarism, cheating, and misrepresentation are inconsistent with the professional standards required of all military personnel and government employees. Furthermore, in the case of U.S. military officers, such may violate the "Exemplary Conduct Standards" delineated in Title 10, U.S. Code, Sections 3583 (U.S. Army), 5947 (U.S. Naval Service), and 8583 (U.S. Air Force).

b. Discussion

(1) Plagiarism: Plagiarism is the use of someone else's work without giving proper credit to the author or creator of the work. It is passing off as one's own another's words, ideas, analysis, or other products. Whether intentional or unintentional, plagiarism is a serious violation of academic integrity and will be treated as such.

(a) Plagiarism includes but is not limited to the following actions:

- 1.** The verbatim use of others' words without quotation marks (or block quotation) and citation.
- 2.** The paraphrasing of others' words or ideas without citation.
- 3.** Any use of others' work (other than facts that are widely accepted as common knowledge) found in books, journals, newspapers, websites, interviews, government documents, course materials, lecture notes, films, generative artificial intelligence (AI), etc., without giving credit.

(b) Authors are expected to give full credit in their written submissions when utilizing another's words or ideas. Such utilization, with proper attribution, is not prohibited by this code. However, a substantially borrowed but attributed paper may lack the originality expected of graduate-level work; submission of such a paper may merit a low or failing grade, but is not plagiarism.

(c) Faculty members are expected to give full credit in their written work that supports the academic courses. Readings and summary documents published through the academic departments or through the NWC Press shall be treated as scholarly papers, fully crediting sources used and ideas borrowed. The level of originality of faculty-written readings may differ significantly from that expected of student-written papers, however, as the intent of faculty work is often to summarize, or compare and contrast various published works on the same subject. Faculty members shall always remember that their work serves as an example to the students for style, format, and integrity.

(2) Cheating: Cheating is defined as the giving, receiving, or using of unauthorized aid in support of one's own efforts, or the efforts of another student. (Note: NWC reference librarians are an authorized source of aid in the preparation of class assignments but not on exams.) Cheating includes the following:

- (a)** Gaining unauthorized access to exams;
- (b)** Assisting or receiving assistance from other students or other individuals in the preparation of written assignments or during tests, unless specifically permitted; and/or;
- (c)** Utilizing unauthorized materials (notes, texts, crib sheets, generative AI, and the like, in paper or electronic form) during tests.

(3) Misrepresentation: Misrepresentation is defined as reusing a single paper for more than one purpose without permission or acknowledgment. Misrepresentation includes the following:

- (a) Submitting a single paper or substantially the same paper for more than one course at the NWC without permission of the instructors.
- (b) Submitting a paper or substantially the same paper previously prepared for some other purpose outside the NWC without acknowledging that it is an earlier work.

c. Action

(1) Plagiarism, cheating, and misrepresentation of work are prohibited. An author who is unsure whether certain conduct would constitute plagiarism, cheating, or misrepresentation shall seek the guidance of their seminar moderator or faculty advisor prior to submission of the assignment or the taking of the test involved.

(2) If a student's submitted written work appears to violate this code of conduct, the following procedures shall be followed.

Note: While the following procedures are written as if the violation occurred within Academic Affairs, they shall be followed if the violation occurs in another deanery, modified to reflect that dean's organizational structure. Additionally, while specific time frames for each step are not delineated, each should be completed as expeditiously as possible.

(a) The executive assistant of the department concerned, or the Deputy Dean of the College of Distance Education, or the Deputy Dean of the College of Leadership and Ethics, as appropriate, will be notified.

1. That department will, after consultation with the Staff Judge Advocate (if subject is military) or General Counsel (OGC)(if subject is civilian), investigate the matter to determine whether there is substantial evidence of a violation. Prior to referral to the Academic Integrity Review Committee (AIRC), the appropriate department shall advise the student in writing of the nature of the violation, present the student with information that supports the alleged violation, and allow the student an opportunity to comment and/or submit information on their behalf. In cases of suspected plagiarism, previous papers submitted by the student will be evaluated for irregularities.

2. Following the departmental investigation, if evidence of an academic integrity violation is found, the appropriate Chair or Director will forward the evidence and any other pertinent information about the case, along with a disposition recommendation, to the appropriate Dean.

3. The Dean will review the case and if part of the JPME curriculum refer the case to the Dean of Academics. The Dean of Academics will review and recommend to the Provost whether to refer the case to an AIRC.

4. Depending on the nature of the violation, and at the Provost's discretion, the Provost may elect to have the matter settled by the appropriate Department Chair or Director, in consultation with the appropriate Dean, the Dean of Students, or the Director of the NCC or the Director of the NSC, as appropriate. In this case, the Provost shall be notified of the final action taken. Alternatively, the Provost may refer the case to the AIRC, at which time the PNWC will be notified of the pending action.

5. If the case is referred to the AIRC, the appropriate Chair or Director will ensure the student is advised of their rights and will prepare an evidentiary binder for all AIRC members for review at least three working days prior to the session.

6. The NWC SJA (military subject) or OGC (civilian subject) shall be consulted throughout all stages of this process. For example, certain rights advisements and elections may be required before interviewing the subject or witnesses. The subject's senior Service Advisor should also be consulted for any Service-specific nuances. There may also be nuances if the subject is a civilian employee assigned or detailed from another U.S. government agency. (The elements of an AIRC package are described in Appendix F of this Handbook).

(b) The AIRC will be composed of the following members:

- 1.** Dean of Academics (serves as chairman)
- 2.** Dean of the College of Distance Education (as required)
- 3.** Dean of the College of Leadership and Ethics (as required)
- 4.** Dean of the Center for Naval Warfare Studies (as required)
- 5.** Dean of the College of Maritime Operational Warfare (as required)
- 6.** Academic Department Chair/Director (or designated representative)
- 7.** Dean of Students (for U.S. students)
- 8.** Service advisor (as applicable)
- 9.** Dean of International Programs (or designated representative, as required)
- 10.** Two at-large faculty members
- 11.** Other(s) as deemed appropriate by the Provost

(c) The AIRC will thoroughly review the case, interview the student if physically present and subject to any required rights advisements and elections, make findings, and recommend appropriate action to the Provost. During this review, the members of the AIRC may take into account any extenuating circumstances presented by the student. (Any appeals will be decided by the PNWC.) This action may include any or all of the following:

- 1.** Lowering of grades on the affected work (this will be a letter grade of F and a numerical grade of between 0 and 59) or on the entire course of instruction.
- 2.** Inclusion of remarks in fitness reports.
- 3.** Letters to appropriate branches of the Service, agencies, offices, or governments.
- 4.** Dismissal from NWC.
- 5.** Referral with a recommendation for disciplinary action under the Uniform Code of Military Justice, or for appropriate action under the rules governing civilian personnel.

(d) Violations discovered after graduation will be processed similarly and may result in referral of the matter to the current command or office of the individual concerned and, if appropriate, revocation of the NWC diploma, master's degree, and/or JPME credit.

(e) No adverse action, based on violation of this code, may be taken without first advising the individual concerned of the nature of the violation and the information that supports the violation and allowing the individual concerned to submit information on their behalf. Students will be advised of the AIRC's recommendation immediately upon their being forwarded to the Provost.

d. Scope

- (1) All faculty, staff, and students shall be familiar with and follow the provisions of this section.
- (2) The Dean of Students (or the appropriate Dean) shall ensure that all incoming students are briefed on this instruction during orientation, and the Dean of Students shall include this section in the student handbook. The Directors of the Naval Command College and Naval Staff College shall ensure that all incoming international students are briefed on this instruction during orientation.
- (3) Deans, Directors, or academic Department Chairs shall regularly brief their faculty on this section and shall ensure that all newly reported faculty members are fully cognizant of the provisions contained herein.

e. Process

- (1) **Student Misconduct.** If written work is submitted that appears to violate the academic honor code, the procedures outlined in the preceding paragraphs will be followed.
- (2) **Faculty Misconduct.** If a student or another faculty member believes that a faculty member has violated the code of academic ethics, the individual may initiate a complaint in accordance with the Enforcement Procedures, specified in Chapter IV, section 14a.(4). Such complaints from a student should first be explored informally with the Dean of Students, or faculty members with their Dean. Final complaints, if necessary, should be brought to the attention of the Provost via the student's formal chain of command.

f. Personal Responsibility

Students who allegedly engage in conduct or behavior that is contrary to good order and discipline or that reflects poorly on their Service or the NWC will have their case reviewed by the PNWC via the Dean of Students (U.S. students) or the applicable Dean for appropriate disposition. Based upon a review of the evidence and after consideration of any rebuttal offered by the student, the PNWC may make disposition, including but not limited to:

- (1) Verbal and/or written counseling;
- (2) Inclusion of remarks in fitness reports;
- (3) Letters to appropriate branches of the Service, agencies, offices, or governments;
- (4) Dismissal from NWC;
- (5) Pursuit of appropriate disciplinary action pursuant to the Uniform Code of Military Justice or the appropriate action under the rules governing civilian personnel.

Chapter IV

Your Career at the Naval War College

1. Types of Appointments/Academic Rank.

a. Categories of Academic Appointments

There are different federal personnel policies for civilian faculty, civilian staff, and military personnel. These different policies may sometimes give rise to perceptions of preferential treatment. An orientation program (outlined in NAVWARCOLINST 1740.1 series) and established instructions and procedures are available to resolve in an efficient manner those few problems that do arise in this area. Federal government regulations limit the College's options in regard to salary, promotion, and other civilian personnel policies.

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

(a) Legal Basis for Appointments. Statutory law provides that the Secretary of the Navy (SECNAV) may employ as many civilians as professors, instructors, and lecturers at the NWC as they consider necessary, and that the SECNAV may fix their compensation as the SECNAV deems appropriate. See Section 7478, Title 10, U.S. Code, for these provisions. Further explanation of the authority to hire civilian faculty members may be found in various provisions of the Code of Federal Regulations (CFR). The CFR states that the Office of Personnel Management (OPM) has final authority to determine whether a position is in the competitive or excepted service, NWC faculty positions have salary scales that are administratively determined (AD). SECNAV Instruction 12534.1C implements the Secretary's authority to administratively determine an appropriate pay schedule for the faculty. It establishes the Naval Faculty Schedule, which applies to the NWC and the other colleges under the Secretary's authority. DODI 1402.06 establishes a standard for recruiting and retaining high quality teacher-scholars and executive level administrative faculty at post-secondary educational institutions and ensuring their high performance. When a faculty member is hired, an SF 50 must be generated to document the personnel action. One of the administrative requirements for a completed SF 50 is to provide an identification of the position's classification series. Faculty positions are placed in the General Education and Training Series, 1701. This series covers education and training positions that require full professional knowledge of a subject field. The 1701 Series includes instructors at a college.

(b) Process for Appointments. The PNWC has delegated authority to the Provost to recommend approval or disapproval of appointments, reappointments, and promotions of the excepted-service faculty. Nothing herein shall in any way be construed to limit the authority and discretion of the Provost and the PNWC regarding appointments or extensions of appointments. Nominations for appointments and recommendations for promotion, tenure,

and/or reappointments are submitted by the respective Department Chair or Director through the respective Dean to the Provost and the PNWC.

(2) Military Faculty

(a) Nomination to the Faculty. Military members of the faculty with the rank of Lieutenant Commander, Commander/Lieutenant Colonel or Captain/Colonel (O-4, O-5, O-6) are nominated by their respective Service branches. The Air Force, Army, Coast Guard, Marine Corps, Navy (and in the future, Space Force) each have a specified number of billets to staff, and typically nominate officers who are War College graduates and who possess applicable command and staff experience and appropriate warfare qualifications. To be assigned to duty on the NWC faculty, nominees must be accepted by the appropriate Director, Departmental Chair, Deans, the Provost, and the PNWC. Military faculty members typically serve two or three years before being reassigned.

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

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

(3) Department Chairs, Directors, and Other Administrative Positions

On behalf of the PNWC, the Provost appoints civilian faculty as Deans, Department Chairs, endowed chairs, and other key administrative personnel. Appointments to these positions are normally for a four-year term and may be renewed no more than once. An appointee desiring reappointment for a second term should submit a formal, written request to the Provost, through the appropriate Dean, at least six months in advance of the expiration of their term. The maximum term of these appointments is eight years, whether consecutive or nonconsecutive. This term limitation applies to the College's Deputy Deans or Associate Deans, the Chair of the Stockton Center for International Law, the Library Director, the Director of Institutional Effectiveness, the Director of AAT, the Director of the Writing and Teaching Excellence Center, the Director of the Advanced Strategy Program, and civilian Department Executive Assistants. The Departmental Chair of Joint Military Operations; the Dean of Students; the Directors of the Naval Command and Naval Staff Colleges, Director of the Maritime Advanced Warfighting School (MAWS), Deputy of the Center for Naval Warfare Studies, and the Deputy of the War Gaming Department are appointments filled by military officers, usually senior naval officers, who normally serve tours of three years or less in these positions.

(4) Special Appointments

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

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

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

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

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

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

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

5 Emeritus faculty members may perform volunteer services in research. Consistent with applicable DoD and Navy regulations, they may be afforded a base-access pass, an NWC picture badge, NWC Library privileges, and access to NWC e-mail. Eligibility for a security clearance must be maintained consistent with DoD directives to access the Naval War College.

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

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

NWC Security Office. Emeritus status is not a right, however, and may be revoked at any time for good cause by the Provost or PNWC.

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

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

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

(c) Those adjunct faculty members under contract to provide educational services will be required to obtain and maintain all certifications required by their employer in accordance with existing federal contracting law.

(d) The contracts of individual adjunct faculty members will be administered by their employer. Overall adjunct faculty contract execution is managed by NWC's contracting officer representative (COR) in consultation with the affected deanery's contracting officer technical representative (COTR). Screening procedures for adjunct selection subsequent to an open search in the geographic area where they will be employed will be administrative in nature and based on position requirements and candidate qualifications.

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

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

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

(7) Other Research Appointments

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

(b) Visiting Research Scholars. This designation, which includes DoD-sponsored Minerva Scholars, is for researchers who are not part of the faculty. It includes those whose research is financially supported, either partially or wholly, by outside sources or by CNWS. Prospective

scholars under this program are typically from U.S. or foreign educational institutions, U.S. or other government agencies, or foreign navies. Candidates may be nominated by NWC Deans to the Provost; by the President, NWC or the Provost; or they may apply to the Provost through the Associate Provost for Research on their own initiative. Nomination packages will be reviewed by the Research Council and evaluated by the Associate Provost for Research who will forward recommendations to the Provost for final approval. More information can be found in NAVWARCOLINST 12252.1 “Non-Resident Research Fellows and Visiting Research Scholars” (Series).

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

Candidates may be nominated by NWC Deans to the Provost; by the President, NWC or the Provost; or they may apply to the Provost through the Associate Provost for Research on their own initiative. Nomination packages will be reviewed by the Research Council and evaluated by the Associate Provost for Research who will forward recommendations to the Provost for final approval. Nomination and acceptance may be on the basis of a specific research project proposal, coverage of gaps in NWC research, or a determination that the particular scholar’s expertise and focus of research is of continuing interest to the College.

More information can be found in NAVWARCOLINST 12252.1 “Non-Resident Research Fellows and Visiting Research Scholars” (Series).

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

2. Hiring.

a. Policy

(1) The President, U.S. Naval War College (PNWC), sets the strategic guidance and mission priorities for all NWC matters. PNWC has delegated recruitment and selection of AD faculty positions to the Provost, as per Chapter IV.1.a.(b).

(2) The Provost must ensure that all selections meet the requirements per 10 U.S.C. § 8748. Per SECNAVINST 12534.1D the Provost will set the salaries of individual faculty members, based upon the recommendation of a Dean, and considering policies promulgated in in this handbook.

(3) NWC is committed to managing civilian AD faculty positions consistent with its mission and Merit Promotion Principles within equal employment opportunity guidelines.

(4) AD faculty positions are an NWC resource with budgetary and manpower implications. The establishment and location of AD faculty positions within NWC are based on mission requirements, priorities, available financial resources, and needs of the Navy.

(5) To standardize and increase transparency in faculty hiring procedures, a competitive hiring process will normally be used. In some instances, the PNWC and Provost may directly fill an AD faculty position when a critical hiring need or severe shortage of candidates exists.

(6) Throughout the hiring process, the Human Resources Office (HRO) must serve as advisors and technical experts to the Provost, Deans, Deputy Deans, Directors, Chairs, and Search Committees. The HRO Director must assign an HR specialist to work with the deanery of the appropriate department during the recruitment process. An administrative liaison must also be appointed to work with the assigned HR specialist throughout the hiring process. Deans and departments must work with HRO to ensure the planned hiring process complies with all legal requirements and established standards.

b. Hiring Process. The Department of the Navy has passed workforce authorization authority to the PNWC, commensurate with its approved budget. Accordingly, the following steps must be used when recruiting to fill AD competitively hired faculty positions:

c. Filling an Existing Billet, Modifying a Position Description, or Establishing a New Billet

(1) A Dean, in coordination with the respective Deputy Dean or Department Chair, will identify an emerging personnel requirement, either filling an existing vacancy, modifying a position description, or identifying a new requirement.

(2) If an existing requirement or modifying an existing position description, the Dean will bring the request to announce forward to the Provost for validation or approval.

(3) If the billet addresses a new requirement, the proposing deanery will present the billet with a draft job description to the NWC Resource Board, which will validate the requirement and ensure availability of funding against other priorities. Once agreed by the board, and endorsed by the Provost, the PNWC will review the establishment of a new AD position. If approved, the HRO begins the job announcement process.

d. Job Advertisement Development and Advertisement Solicitation

(1) Once approval to recruit is received from the Provost, the respective Dean will appoint a Deputy Dean, Department Chair, Director, or sufficiently senior faculty member to lead the recruitment effort. The Dean will direct the relevant Deputy Dean, Department Chair, or Director to finalize a position description and advertisement for Dean approval. Announcements must specifically reflect whether the position is classified as academic tenure track or non-tenure track, as well as whether the position is term or temporary appointment. (For more information, see paragraph 10 of Chapter IV).

Note: When filling a vacancy for a Dean or other direct-report position to the Provost, a Dean or senior faculty member (AD-9 or AD-07) will be appointed to lead the search.

(2) The Deputy Dean, Department Chair, or Director, in coordination with the HRO, will recommend the length of the advertisement period and the timing of the job announcement release (typically in accordance with hiring seasonality and driven by organizational needs, ideally one month and typically not less than two full weeks).

(3) The HRO will send the approved announcement with agreed announcement dates to the Department of the Navy's Office of Civilian Human Resource (OCHR) Stennis Operations Center for posting to the USAJOBS website. The announcement will include a unique electronic mailbox to which applicants will send their application materials.

(4) The respective Dean, Deputy Dean, Department Chair, or Director, in coordination with the College's Public Affairs Officer (PAO), will ensure posting of the job ad to NWC's web and social

media sites as well as appropriate outlets with the intent to build a diverse and qualified candidate pool. The posting of the advertisement will be coordinated between the Dean, the Search Committee Chair, the HRO, and the PAO to ensure consistency with the NWC Faculty Handbook.

Note: The NWC will actively recruit candidates with diverse academic, demographic, academic discipline, and professional backgrounds. The CIDO will ensure efforts have been undertaken to actively recruit underrepresented groups. Once approved, it must be advertised in the journals outlined in Chapter IV, section 1a(1)(b)1, and optional locations appropriate to the discipline sought. The HRO will share the announcement with the PAO for promulgation on NWC website and social media platforms.

(5) The Dean, Deputy Dean, Department Chair, or Director, must develop evaluation criteria using the required and preferred qualifications outlined in the recruitment announcement, elements from the position description, and leadership guidance. Special care will be taken not to introduce criteria that is not reflected in the announcement.

(6) The Deputy Dean, Department Chair, or Director will nominate a full search committee for Dean approval. Normally, the committee will be composed of at least five members possessing the requisite academic seniority and professional qualifications to properly evaluate potential candidates. Further, the committee should reflect diversity to ensure fair and equitable competition amongst all qualified candidates. At least one member of the committee will be selected from a department or directorate external to the one seeking to fill the position. Search committees should include at least one military faculty member, when appropriate.

e. Candidate Pool Development and Interviews.

(1) The HRO will receive applications via the unique electronic mailbox posted in the job announcement rather than through the USAJOBS website, a method approved by the Department of the Navy.

(2) For each application received, the HRO will provide the applicant with an e-mail confirmation receipt.

(3) Following closure of the job ad, the HRO will receive all candidate packages, and within seven business days, the HR Specialist and the department's designated search committee representative will meet to determine which candidates meet minimum qualifications as described in the announcement. A document will be prepared that shows which candidates were screened out by specific qualifications.

(4) Following this screening, the search committee members will meet with the HRO to receive a procedural guidance briefing. The HR Specialist will provide procedural guidance in accordance with Appendix C. The Dean, Deputy Dean, Department Chair, or Director may want to also meet with the committee members to answer questions in advance of reviewing applicants' records.

(5) Once the procedural guidance meeting has occurred and committee members sign a nondisclosure agreement, HRO will provide access to applications for qualified candidates, the position description on file, and the announcement used to all involved parties.

f. Candidate Selection and Job Offer.

(1) The entire committee will evaluate the minimally qualified candidates based on the selection criteria provided by the hiring officials, the application documents, interviews, job talks, question and answer sessions, or other activities as appropriate for the position under consideration.

(2) Typically, a search committee will select a number of minimally qualified candidates to participate in a virtual (Zoom/MS Teams) interview and subsequently invite a short list of "best

qualified” candidates for in-person interviews. All committee members should be present for the interviews.

(3) After completion of the standardized evaluations, the search committee will provide the list of qualified candidates (“finalists”) with their assessment and recommendation to the Dean, Deputy Dean, Department Chair, or Director, as appropriate. Once the assessment process is complete, the search committee chair will provide a summary memorandum, using the format in Appendix C, to the Dean via the Deputy Dean, Department Chair, or Director, as appropriate. This memorandum must outline the basic process for the recommendation to include: the search process followed, the selection criteria developed, the search committee members, a certification that all candidates were considered fairly and equitably, a summary of the committees’ down-selection processes, an explanation of why the top candidate was recommended over the other best-qualified finalists. If the committee’s recommendation is not unanimous, search committees should provide a “minority report” that describes significant disagreement regarding candidate qualifications and/or rankings.

(4) The Deputy Dean or Department Chair will review the search committee’s assessment of the candidates and provide an endorsement for the Dean’s review and consideration per Appendix C.

(5) The Dean must consider both the search committee’s memorandum and the Deputy Dean, Department Chair, or Director’s recommendation prior to drafting a hiring recommendation letter to the Provost per Appendix C. All the documentation will be forwarded to the HRO for review; HRO will forward to the Provost. The Provost will make the final selection decision.

Note: The Dean’s letter to the Provost should include a tentative tender offer recommendation for the candidate (including academic grade and step within established pay bands) as well as a recommendation for the granting of academic tenure. Such provisions, including stipulation of tenure track or non-tenure track, and any crediting of time toward academic tenure, must be included in the tender offer and in the faculty member’s memorandum of understanding (MOU).

(6) The respective Dean, Deputy Dean, Department Chair, and/or Director will coordinate with HRO and the candidate to draft an initial MOU and start date.

(7) Once and MOU has been signed, the respective Dean, Deputy Dean, Department Chair, and/or Director will ensure non-selected candidates are notified in a timely manner. Other candidates who met the minimum qualifications but were not determined to be best qualified may be notified earlier in the process as long as there is no reasonable expectation for an interview if others decline. All communications with unsuccessful candidates will focus on maintaining a professional relationship, not on explaining the hiring decision nor internal deliberations of the committee.

g. Preference Eligible Veterans. If two or more candidates are equal in qualifications and merit factors, then considerations of veteran’s preference may be used and the offer will be made to the equally qualified, preference-eligible candidate as a competitive hire. Otherwise, if a nonpreference-eligible candidate is appointed, the reasons for non-selection of any equally qualified, preference-eligible candidate will be documented in writing and made part of the record.

h. Employment of Relatives. The Naval War College has numerous faculty, staff, and contractors who are relatives, including spouses, domestic partners, civil unions, siblings, and adult children. The ability to accommodate the employment of qualified relatives enhances the ability to retain people and ultimately contributes to the NWC mission. The positions of relatives or spouses within the faculty requires careful consideration to ensure fairness, transparency, avoiding perceived or actual conflicts of interest, and to fill available positions. The following policy applies to hiring and appointment of family members within the NWC faculty:

(1) For the purposes of this handbook, a “relative” or family member is defined as a spouse, domestic partner, parent, child, grandparent, or grandchild of the member or of the member’s spouse.

(2) Faculty members must disclose any familial or spousal relationships with candidates applying for positions within the faculty, including adjunct faculty or visiting scholars. This disclosure should be made relevant to supervisory personnel or hiring committees at the earliest stage of the hiring process. Faculty members with a familial or spousal relationship with a candidate must recuse themselves from any decision-making processes related to hiring, promotion, or evaluation of that individual. This includes participation in hiring, promotion & tenure, awards committees, and academic review boards.

(3) If already employed, faculty cannot be transferred into position with a reporting relationship with their spouse or family member, such as within the same department. It is the obligation of the employees impacted by this policy to identify and bring any real or perceived conflict to the attention of their Department Chair, Dean, and HR. The NWC leadership may in its discretion make exceptions to this policy as appropriate.

(4) Conflict of Interest Management. NWC Hiring Committees in coordination with HR shall ensure transparency throughout the hiring process through thorough review of candidate's disclosures and including applicable documentation of any spousal or familial relationships within the faculty. Annually, the Associate Provost for Education and the Faculty with HR participation will convene an impartial oversight to review hiring decisions involving faculty members' relatives or spouses. This committee will verify transparency in the hiring and promotion and tenure process by reviewing records of disclosures and recusals to demonstrate compliance with this policy.

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

3. Salary

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

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

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

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

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

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

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

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

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

Department of the Navy Faculty pay tables can be found on the Employee Information link of the NWC HR intranet page at:
<https://navalwarcollege.sharepoint.com/sites/intranet/USNWCIntranet/Human-Resources>

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

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

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

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

4. Benefits. The Civilian Benefits Center (CBC) is the centralized organization within the Department of the Navy that administers the Federal benefits and retirement programs for civilian employees. Benefits and retirement program information is available on the Office of Civilian Human Resources (OCHR) Portal. Portal is at:

<https://portal.secnav.navy.mil/orgs/MRA/DONHR/Benefits>.

You must use a government computer with a .mil or .edu email address and your DoD common access (CAC) card to enroll in benefits. If you have questions, the CBC is open Monday through Friday during the hours of 0730 -1930 eastern standard time at 1-888-320-2917 to assist you with questions.

a. Federal Employees Health Benefits Program. The Federal Employees Health Benefits (FEHB) Program is one of the most valuable benefits of Federal employment, FEHB provides medical coverage for hospitalization, doctor visits, prescriptions and other medical services. Coverage is not automatic—employees must enroll in a health plan within 60 days of their appointment date in order to be covered.

Although you have 60 days to enroll, it is to your advantage to make this election soon in order to be covered in case of accident or illness. There is no retroactive coverage of your expenses prior to the effective date of your enrollment. The policy will begin coverage on the effective date, however, and will cover expenses that occur on or after that date. There is an annual open enrollment opportunity and certain qualifying events may permit enrollment or change to your enrollment within a specific time frame. Once you enroll in a health insurance plan, your enrollment automatically continues each year, as long as you remain eligible for the program.

b. Dental and Vision Insurance. The Federal Employees Dental and Vision Insurance Program (FEDVIP) is available to eligible Federal employees, retirees, and their eligible family members on an enrollee-pay-all basis. This Program allows dental and vision insurance to be purchased on a group basis which means competitive premiums and no pre-existing condition limitations. Premiums for enrolled Federal and Postal employees are withheld from salary on a pre-tax basis. New and newly-eligible employees can enroll during the 60 days after they become eligible. Eligible individuals can enroll in a dental plan and/or a vision plan. Employees must be eligible for the FEHB Program in order to be eligible to enroll in FEDVIP. It does not matter if you are actually enrolled in FEHB, eligibility is the key. You may make your election on the BENEFEDS Web site at <https://www.benefeds.com> or by contacting BENEFEDS at 877-888-3337.

c. Federal Employees Group Life Insurance (FEGLI). If you are in a FEGLI-eligible position, you are automatically enrolled in Basic life insurance. There are also three options, including a Family Option so you may choose your desired coverage. You do not get optional insurance automatically, you must elect any options. You may elect to cancel basic coverage at any time, however you must be enrolled in basic life insurance before you can enroll in optional insurance. You have 60 days from your entry date to sign up for any optional life insurance. If you do not make an election, you are considered to have waived optional insurance. You do not need proof of insurability for the Basic insurance that you get when you are first hired, or any optional insurance for which you enroll during the first 60 days. Proof of insurability may be required for insurance changes you request after that time.

d. Injury Compensation and Medical Care. The Federal Employees' Compensation Act (FECA) is administered by the Office of Workers' Compensation Programs of the U.S. Department of Labor. The act provides benefits to federal employees for continuation of pay for traumatic injuries and for wage loss, medical care, and other assistance for job-related injury, occupational sickness, or death. An employee is entitled to first aid and medical care for an injury sustained while in the performance of official duty. The medical care is to be provided by any duly qualified local physician or hospital of the employee's choice. Federal Employees Health Benefits Program plans will not pay medical expenses resulting from a work-related injury or disease. An employee is required to inform their official supervisor notice of the injury immediately. The supervisor will notify the NWC Injury Compensation Program Administrator (ICPA) or the Human Resources Office immediately. The ICPA will provide the injured worker's rights and responsibilities under FECA and information on how to file a workers compensation claim with the OWCP.

e. Federal Flexible Spending Accounts. (FSAFEDS). If you are eligible for FEHB, you are eligible to enroll in a flexible spending account (FSA) with FSAFEDS. It does not matter whether you are actually enrolled in FEHB-eligibility is the key. Participation in FSAFEDS is voluntary and you must

elect to participate. You have 60 days from your entry on duty to sign-up for the Flexible Spending Account(s), or until October 1, whichever comes first. Applications for the current calendar year are not accepted from October 1 through December 31. If you wish to enroll after October 1 you will need to do so during Open Season for the following year. You must make your election on the FSAFEDS web site at www.FSAFEDS.com or by calling them at 877-372-3337.

Flexible Spending Accounts allow you to set aside pre-tax dollars from your pay for reimbursement for your eligible out-of-pocket health care and/or child/elder dependent care expenses. FSAFEDS enrollment offers savings by lowering the amount of your income tax deduction for use towards eligible expenses.

There are three types of FSAs offered by FSAFEDS, 1) Health Care FSA, 2) Limited Expense Health Care FSA, and 3) Dependent Care FSA. Each type has a minimum annual election of \$100. More information on FSAFEDS is available at <https://opm.gov/healthcare-insurance/flexible-spendingaccounts>.

5. Vacation and Leave Policy.

a. Civilian Faculty. Members of the civilian faculty earn annual leave incrementally while they are in a pay status. Employees are paid after each pay period which are every two weeks. New employees earn 4 hours per pay period for annual leave. Employees with 3 years of prior civilian and/or creditable military service will earn 6 hours a pay period. Over 15 years of civilian service or creditable military service (or both), employees earn 8 hours of annual leave per pay period. Employees earn 4 hours per pay period for sick leave. The amounts may be reduced proportionately for any part of the year a member is in a non-pay status. Exact provisions of the federal-service leave policy may be found at the www.opm.gov website.

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

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

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

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

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

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

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

c. Other Leaves and Absences

(1) Sick Leave. Sick leave is accrued by all civilian personnel at the rate of four hours per pay period. There is no limit on the number of hours of sick leave that may be accumulated. No lump-sum payment will be made for unused sick leave when employees leave the federal service, but such leave may be credited toward annuity time. However, if the employee is reemployed in the federal service employee will be recredited with previous sick leave balance regardless of the break in the length of service.

An employee is entitled to use sick leave when he or she:

- (a) receives medical, dental, or optical examination or treatment;
- (b) is incapacitated for the performance of duties by physical or mental illness, injury, pregnancy, or childbirth; or
- (c) would, as determined by the health authorities having jurisdiction or by a health care provider, jeopardize the health of others by their presence on the job because of exposure of a communicable disease.

There is no limitation on the amount of accrued or accumulated sick leave that an employee can use for their own personal medical needs.

Applications for advance sick leave, accompanied by medical verification and prognosis, are submitted on the SF 71 to the Provost via their appropriate departmental leadership and the Human Resources Office. Sick leave may be advanced up to 104 hours (13 days) to an employee, when required by the exigencies of the situation, for an employee's own medical, dental, or optical examination or treatments. Sick leave may also be advanced up to 240 hours (30 days) for an employee's own illness.

(2) Sick Leave for Family Care or Bereavement Purposes. An employee is entitled to use up to 104 hours (13 days) of sick leave each leave year for any of the following instances.

- (a) Provide care for a family member who is incapacitated as a result of physical or mental illness, injury, pregnancy, or childbirth;
- (b) Attend to a family member receiving medical, dental, or optical examination or treatment;

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

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

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

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

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

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

(d) A serious health condition of the employee that makes the employee unable to perform the essential functions of their position.

Under certain conditions, an employee may use the twelve weeks of FMLA leave intermittently. An employee may elect to substitute annual leave and/or sick leave, consistent with current laws and OPM's regulations for using annual and sick leave, for any unpaid leave under the FMLA. The amount of sick leave that may be used to care for a family member is limited. FMLA leave is in addition to other paid time off available to an employee.

(4) Paid Parental Leave. An employee may be eligible for up to twelve weeks of paid parental leave but must meet FMLA eligibility requirements, including the following:

(a) has completed at least twelve months of Federal service of a type that is covered under the title 5 FMLA provisions;

(b) has a part-time or full-time work schedule (i.e. employees with an intermittent work schedule are ineligible); and

(c) has an appointment of more than one year in duration (i.e. employees with temporary appointments not to exceed one year are ineligible).

The employee must have a qualifying birth or placement event (adoption or foster care).

An employee who is ineligible for FMLA leave at the time of the qualifying birth or placement may establish FMLA leave eligibility during the twelve-month period following the birth or placement and use parental leave during that period.

Employees interested in FMLA or paid parental leave must contact HRO to complete the required paperwork.

(5) Voluntary Leave Transfer Program. Under the Voluntary Leave Transfer Program, a covered employee may donate annual leave directly to another employee who has a personnel or family medical emergency and who has exhausted their available paid leave. Individuals who desire to become a "leave recipient" or who volunteer to become a "leave donor" must submit a written request, through the Human Resources Office, and obtain approval from the Provost. Should a potential "leave recipient" be unable to make an application for voluntary leave transfer, a personal representative of the employee may make written application on the employee's behalf.

(6) Military Reserves Tours of Duty. Civilian faculty and staff members who are members of reserve components of the armed forces may utilize military leave with pay for a maximum of fifteen days during any fiscal year when ordered to active duty. If employees are called to active duty for

periods in excess of fifteen days, annual leave, compensatory time, or leave without pay may be used to cover the portion of the absence for which military leave is unavailable. A copy of the military order must be provided to the supervisor and the Human Resources Office.

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

- (a) In attendance in court as a witness on behalf of the Government of the United States;
- (b) In attendance in any court of the United States or state court either as a juror or for the purpose of qualifying for jury service; or
- (c) Summoned to appear as a witness in a proceeding on behalf of a state or local government.

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

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

6. Retirement.

Only general information is given below about federal-service retirement provisions and procedures. Starting several years in advance of the anticipated retirement date, a faculty member should think carefully about retirement decisions. The faculty member should then periodically review and update their choices. For assistance in the decision-making process, prospective retirees should go to: <https://civbenefits.dc3n.navy.mil/account/security-notice?license=1804> or call The Benefits Line at 888-320-2917 to speak with a retirement specialist.

a. Retirement System. Retirement system benefits offer deferred and immediate retirement annuity benefits to eligible individuals. Retirement benefits also include benefits for long-term disability (subject to OPM approval) and benefits payable to survivors in the event of a death.

(1) Federal Employees Retirement System (FERS) covers most employees hired in a position that provides retirement coverage after January 1, 1984. It is a three-part retirement system considering of Social Security benefits, a FERS basic benefit plan and the Thrift Savings Plan. There are three different Federal Employees Retirement Systems Plans with different employee's contribution rates.

- (a) FERS-employees appointed on 1 Jan 1984-31 Dec 2012 contribute 0.8% of basic salary.
- (b) FERS-RAE (Revised Annuity Employees) requires an employee contribution rate of 3.1% of basic pay.
- (c) FERS-FRAE (Further Revised Annuity). Requires an employee contribution rate of 4.4% of basic pay and cover employees appointed on 1 January 2014 to the present.

(2) The Civil Service Retirement System (CSRS) is a closed system to employees hired after January 1, 1984, but still covers a small portion of the DON civilian workforce.

(3) FICA and CSRS Partial, cover certain employees who are vested in CSRS, but are subject to Social Security by law. If you are placed in CSRS-Offset you have a six-month opportunity to elect coverage under FERS.

b. Sick Leave. Civilian employees who establish eligibility under provisions of the CSRS and FERS are permitted to convert unused days of sick leave to their annuity credit under a formal leave system.

c. Military Service Credit for Retirement. If you have served on active duty, you may make a deposit to the civilian retirement system for that service and receive credit toward the civilian retirement for that service. For certain FERS and CSRS employees, a deposit is required in order to receive credit for both retirement eligibility and annuity computation. You have a three-year, interest free period to make the deposit. After that, the deposit will include interest.

d. Refunds of Contributions at Separation. Employees who leave federal service prior to becoming eligible for immediate benefits under either CSRS or FERS retain rights to their contributions to those programs. Several conditions govern the individual's options for the refund or withdrawal of contributions. These options should be carefully evaluated on a personal basis because, especially for an older employee, vested benefit rights are often far more valuable than the value of contributions. Should an individual elect to withdraw their contribution upon separation and then return to federal service at a later period, the lost service can be recaptured by repaying the withdrawn amounts plus interest, for former CSRS participants. FERS participants who withdraw their contributions at separation are *not* eligible to recapture the lost service in the event that they return to federal employment.

e. Thrift Savings Plan (TSP). Most employees covered by FERS or CSRS are eligible to participate in TSP, but the participation rules are different.

(1) FERS- As a FERS employee TSP is an integral part of the retirement package, along with your FERS basic annuity and Social Security. You are automatically enrolled in TSP and 5 percent of your basic pay will be deducted for TSP if you are hired or rehired after 1 Oct 2020. You will receive 5 percent agency matching contributions which includes the agency automatic (1%) contributions. You can terminate your automatic enrollment at any time.

(2) CSRS. TSP provides CSRS employees with a source of retirement income in addition to the CSRS annuity.

(3) FERS and CSRS.

(a) You can contribute any dollar amount or percentage of your basic pay to TSP; however, your annual dollar amount cannot exceed the IRS elective deferral limit. If turn age 50, contributions over the elective deferral limit will spillover to additional catch-up contributions, up to the IRS deferral limit.

(b) There are several investment funds and employees have a choice of tax treatments -tax deferred and after-tax contributions.

(c) TSP contributions must be made through payroll deductions.

More information can be found at <http://www.tsp.gov>.

f. Social Security. The Old-Age, Survivors, and Disability Insurance program. Most people know this federal benefits program as OASDI or Social Security. The OASDI tax is mandatory for employees, employers, and the self-employed. An employee contributes to OASDI through payroll deductions under the Federal Insurance Contribution Act (FICA). Internal Revenue Service (IRS) statute determines OASI tax rates. In 2023, an employee pays a mandatory FICA Social Security tax of 6.2% and a Medicare tax of 1.45% for a total of 7.65%.

7. Outside Employment. Faculty members are sometimes offered compensation by outside individuals or nonfederal entities for verbal or written work on a topic within the member's area of expertise. No such outside compensation may be accepted for official work performed for NWC. Outside employment may enhance an individual faculty member's professional competence, or merely provide additional compensation. Although participation in these activities can benefit the NWC as well as the individual, it can also give rise to interference with official duties, and the possibility (or appearance) of conflicts of interest among other things. In particular, individuals may not accept compensation from a source other than the U.S. Government for work performed on official time or using U.S. Government resources. Outside employment

by NWC personnel in activities that interfere or conflict with the individual's performance of official duties, whether or not they involve remuneration, should not be undertaken. It is the responsibility of all members of the faculty and the staff to inform their Department Chairs or Directors, the relevant Deans, and the SJA in advance of any proposed engagement in employment outside the College; if they have not done so, but are currently engaged in outside employment, they must notify the Dean at once. All faculty requesting outside employment shall submit an outside employment questionnaire form (available from Dean's office or SJA's office) to the Provost via the Flag Administration office. All requests for outside employment require Provost approval. When contemplating making a request for approval to engage in outside employment, personnel should be mindful of the following:

a. General. The general rule for outside activities is permissive: Executive branch employees, subject to some limitations, are allowed to participate in outside activities. An employee may not have outside employment or be involved in an outside activity that conflicts with the official duties of the employee's position. An activity conflicts with official duties --

(1) if it is prohibited by statute or by the regulations of the employee's agency, or

(2) if the activity would require the employee to be disqualified from matters so central to the performance of the employee's official duties as to materially impair the employee's ability to carry out those duties.

b. Joint Ethics Regulations. DoD personnel may engage in outside employment or be self-employed outside the work place IAW 5 CFR 2635.801-804 and the Joint Ethics Regulation. There are, however, several limitations that should be kept in mind.

(1) No interference with official duties. A DoD employee may not engage in outside activities that interfere with their performance of military duties, are prohibited by statute or regulation, or would require the employee's disqualification from matters critical to the office. 5 C.F.R. § 2635.802; JER § 5-406.

(2) No representing to the Federal Government. Note – these are criminal provisions. Employees may not act as agent or attorney for anyone before any agency of the Government on any matter in which the United States is a party or has a direct and substantial interest. 18 U.S.C. § 205. Other than in the performance of official duties, employees may not receive compensation for representational services rendered either personally or by another. 18 U.S.C. § 203. Further, 18 USC 208 bars any employee from participating personally and substantially in an official capacity in any particular Government matter that would have a direct and predictable effect on their own (or imputed) financial interests. (Cross-reference with discussion on Conflicts of Interest in chapter and note references in 18 U.S.C. § 201 - 209 and 5 C.F.R. 2637.)

(3) Appearance of Impropriety. In addition to the limitations described above, Federal Employees are prohibited from taking positions when to do so would create an appearance of a conflict of interest with his or her federal employment. 5 C.F.R. 2635.802

c. Obligations of Public Service. Moreover, personnel must be mindful of other obligations of public service:

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

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

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

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

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

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

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

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

d. Travel in Conjunction with Consulting Activity. NWC faculty and staff members who propose to perform consulting work, as an outside activity, that will involve travel and absences should inform their Department Chairs or Directors and Deans before entering into any such consulting arrangements to ensure such travel and absences will not interfere with the performance of their official duties.

8. Honoraria. NWC faculty members, staff, and students may accept honoraria under specifically prescribed conditions. Honoraria are considered a form of outside employment and therefore require Provost approval, with SJA legal review. Requests for approval should be routed following the same procedures above for outside employment. In general, a faculty member, staff member, or student may accept an honorarium for teaching, speaking and writing in their *personal* capacity, providing the amount does not exceed usual and customary fees up to a maximum of two thousand dollars for an appearance, a speech, or an article published in a bona fide publication, if such an appearance, speech, or article is customary for scholarly or academic activities normally associated with institutions of higher learning and if the following conditions are met:

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

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

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

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

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

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

However, honoraria may not be accepted for teaching, speaking, or writing performed as part of their official duties. For example, personnel designated by the NWC (or their academic department) to speak at a conference as part of their official duties may not accept an honorarium.

9. Evaluations and Termination of Employment.

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

(1) Civilian Faculty Members

(a) Department of Defense Performance Management and Appraisal Program. Civilian faculty members are evaluated annually in accordance with standard procedures established in accordance with the Department of Defense Performance Management and Appraisal Program (DPMAP). The annual appraisal period is 1 July to 30 June or, in the case of initial appointments, from the beginning date of appointment until 30 June. At the beginning of the appraisal period, faculty members are apprised of the critical elements and performance standards by which they will be assessed—for example, teaching and core curriculum execution, curriculum development, professional development and contribution, research, analysis, outreach, and service to the department and NWC. Toward the middle of the performance cycle there is a progress review. At the end of the performance cycle, Department Chairs, Directors, or other supervisors will make full written assessments of the performance of each of their faculty members. Faculty members have the right to grieve performance appraisals and other matters relating to the appraisal program in accordance with Department of the Navy Administrative Grievance procedures.

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

(2) Military

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

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

b. Termination of Employment.

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

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

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

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

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

(2) Change in NWC Structure or Organization. A lack of federal funds, major changes in mission, or a substantial decline in a department's workload may require a reduction in the number of faculty members. In such an event, and insofar as possible and not guaranteed, written notice of termination of service will be given, and at least six months prior to its effective date, to those individual civilian faculty members who are to be affected. Such notification will permit those faculty members to be fully competitive in the academic job market for the following academic year. This provision does not grant any substantive rights to any employee.

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

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

(5) Faculty Checkout. Civilian faculty members should give supervisors at least two weeks' advance notice prior to their departure dates in order to provide adequate time to comply with these requirements. Military personnel must obtain a copy of the checkout form from the Administrative Services Division, at least two days prior to departure. Civilian personnel obtain their checkout forms from the Human Resources Office. Government and NWC policies for classified material and security control require a positive checkout procedure for all civilian and military faculty members departing the College. If the departing faculty member has had access to classified material, the supervisor must ensure that the faculty member returns all classified material. Those leaving government service must also obtain a security debrief and return the NWC security badge.

Upon completion of the NWC checkout form, civilian faculty members must also report to the Human Resources Office for additional checkout processing. Failure to accomplish these steps may delay processing of the employee's unpaid compensation and financial or personnel records and documents.

10. Appointment, Reappointment/Non-reappointment, Promotion, and Tenure of Civilian Faculty.

a. Background. Promotion and tenure are implemented through a concept of shared governance and shared responsibility among the faculty and NWC leadership, subject to and consistent with the needs of the College, U.S. government (USG) regulations, and Department of Defense (DoD), and Department of the Navy (DON) policy. NWC embraces a set of fair, transparent, equitable, and commonly understood standards and processes for promotion and tenure as critical to the institution's effectiveness, mission, and ability to attract and retain a highly qualified faculty.

(1) Values. NWC pursues its objectives and conducts day-to-day activities consistent with the following values:

- (a)** We embrace diversity, inclusiveness, and open communication to foster a creative, collaborative, and high-performing team that treats all people with professionalism, dignity, and respect.
- (b)** Our respect for the expansive range of ideas, experiences, and scholarship within our community underpins our commitment to academic freedom.
- (c)** We are agile, intentional, and innovative in addressing emergent issues and changes in tasking and the external operating environment.
- (d)** We are committed to measuring and improving the quality of service provided to our stakeholders.

(2) Authorities. The President of the U.S. Naval War College (PNWC) is responsible for all operations of the NWC. Authorities for faculty hiring, promotion, and tenure are contained in NAVWARCOLINST 12335.1.

(a) Under the direction of the PNWC, the Provost is designated as the "Senior Government Civilian" at NWC. In this capacity, the Provost serves as the approving authority for all civilian personnel actions, including (see note 1):

Note: Per NWC Provost's Memorandum of Understanding (MOU).
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- 1** New hires, renewals, promotions, reassignments, details, changes to grade, etc.;
- 2** Classification of new and existing civilian positions;
- 3** Adjudication of administrative grievances, negotiated grievances, and matters before a third party, including approval of all administrative excusals and dismissals.
- 4** Other administrative responsibilities as outlined in the Provost's MOU.

5 Serves as Dean of the Faculty as the principal advisor to the PNWC on matters about the recruiting, development, evaluation, promotion, and discipline of civilian faculty members.

6 The Provost's duties include oversight and coordination of the preparation of the College's annual budget and participation in the Navy's planning, programming, budgeting, and resource processes appropriate to the fiscal years under consideration.

7 Advising PNWC on the establishment of priorities for the use of the College's financial and human resources.

(b) Authority of the Faculty. Faculty privileges, rights, and responsibilities are established by provisions of Federal Civil Service Statutes or U.S. Military Regulations. These references and faculty obligations are also addressed in the terms and conditions of each faculty member's memorandum of understanding and/or position description.

(3) Faculty Appointments

(a) Paragraph 2 of this chapter discusses position recruitment and selection of faculty. NWC's ability to accomplish its mission, functions, and tasks demands a diverse faculty characterized by both career academic scholars and experienced national security professionals. NWC employs a dual system of tenure-track and non-tenure-track appointments to attract and retain a competitive and effective faculty to carry out its charter to deliver excellence in education, research, and outreach.

(b) Determination of which faculty positions are appropriate for tenure/tenure-track designation will be made by the PNWC and Provost, upon recommendation of the Deans, Chairs, and Directors, in light of budgetary and other considerations, and consultation with the faculty. To accomplish its mission, the College hires both tenure-track and non-tenure-track professionals and applies comparable standards for promotion.

(c) Faculty positions that require an earned doctorate and encompass the traditional academic responsibilities of classroom teaching, published scholarship, and institutional and professional service will commonly be defined as tenure track. Faculty positions that are distinctive to the NWC mission and diverge from traditional academic duties in one or more areas will more commonly be designated as non-tenure track. Such faculty positions may emphasize practitioner experience, transactional and operational instruction, full-time research and analysis, or leadership and management of large academic programs and administrative subdivisions.

(d) Faculty may request to have their position recategorized. However, it is the Chair/Director and Dean's prerogative to designate position requirements within their departments. The faculty member's Chair/Director and Dean will provide a recommendation, whether initiated by leadership or upon a faculty member's request, to the Provost and PNWC after considering the needs and assigned duties of the department and the NWC.

(e) If a non-tenure track associate professor's position is formally recategorized as tenure-track, the faculty member has four years in which to apply for tenure. Tenure must be awarded before submitting for promotion to professor. The requirements for the award of tenure are the same as for a tenure-track assistant professor seeking promotion to associate professor with the concurrent award of tenure. Consistent with the policies adopted by the American Association of University Professors, unsuccessful tenure candidates will be given a one-time, single-year terminal appointment to conclude their service to the college. If a tenure track faculty member's position is recategorized to non-tenure track, that individual is then subject to the eligibility and standards as non-tenure-track faculty for promotion consideration. Involuntary recategorization may be appealed to the PNWC through the chain of command.

(f) Recategorization of positions at other ranks will be handled on a case-by-case basis driven by the needs of the department and with the Provost's approval.

(g) Based on 10 U.S.C. §8748, 5 CFR 213-3108, and the OPM Guide to Processing Personnel Actions, March 2017, faculty members may be separated or appointments may be terminated due to changing missions of the NWC, a reduction in force, or for cause, based on performance or conduct.

(4). Definitions and Terms

(a) Academic Tenure

1 Consistent with the rules of the Federal civil service and the DoD and DON, academic tenure is conferred upon civilian tenure-track faculty based on the judgment that a faculty member has performed and will continue to perform at the highest levels of excellence across their responsibilities. Academic tenure is reserved for those members holding the rank of Associate Professor and Professor and is normally awarded concurrent with promotion to associate professor (tenure track) (see note below). NWC subscribes to the general guidelines of the American Association of University Professors (AAUP) regarding tenure and academic freedom issued in 1940 with 1970 interpretive comments.

Note: As used in this policy statement and consistent with the rules of the Federal civil service and the DoD and DON regulations for excepted service, once awarded academic tenure the employee's SF-50 will indicate tenure group 1 "career" or tenure group 2 "career conditional" appointment, as appropriate, as excepted service employees for the purposes of federal workforce management. The OPM Guide to Processing Personnel Actions, March 2017 pertains.

2 Granting of tenure and permanent appointment is not a right of longevity nor reward for past achievements. It connotes a mutual commitment between the College and faculty members. Further discussion of standards is described in paragraph 10b(6) below.

(b) **Permanent Appointment – Non-Tenure Track** (see note below). This is awarded to non-tenure track faculty who have long records of accomplishment in education, research, and service to the College. A permanent appointment is awarded concurrent with promotion to professor or upon a non-tenure track associate professor's successful application for permanent appointment as noted in the next section. There is no inherent right to a permanent appointment, nor is it an automatic reward for longevity. It is reserved for faculty members whose records stand out, who show continued promise of such high levels of performance, achievement, and service to the College, and whose expertise is expected to be needed for an extended period.

b. Ranks: Appointment, Reappointment, and Promotion. Ranks assigned or earned based on appointment, reappointment, and eligibility for promotion. Faculty appointments for new hires are determined in the recruitment and selection process as outlined in NAVWARCOLINST 12300. Faculty appointments will typically be at one of the following ranks: Instructor, Assistant Professor, Associate Professor, and Professor. Rank descriptions, reappointment, and eligibility for promotion are defined as:

(1) Instructor/Research Associate/Fellow (AD-01). AD-01 employees are hired for their academic or professional expertise but typically either (1) do not meet the qualifications for assistant professor, or (2) are attached to a short-term program, such as a post-doctoral fellowship. AD-01 employees in the first category (1) are eligible for evaluation for promotion to assistant professor upon completing their terminal degree or attaining sufficient professional expertise to warrant promotion to a more senior rank. AD-01 employees in the second category (2) are not eligible for promotion but are eligible for renewal at their current rank if there is a clearly identified requirement. Within NWC, the AD-01 rank may be described by the following titles: Instructor, Research Associate, Researcher, or Post-doctoral Fellow.

(2) Assistant Professors (AD-03). Assistant Professor is generally a new or recently graduated scholar who holds an earned Ph.D. or equivalent terminal degree, and who is usually in or near their first faculty appointment; or is a national security professional with between five and 15 years of relevant experience hired for their prior military or civilian national security leadership or expertise. While showing promise, they have not yet compiled a qualifying record of academic or professional experience and expertise required of an associate professor. The initial appointment to the rank of assistant professor is for three years and a follow-on appointment shall normally be for four years. Tenure track assistant professors normally must apply for promotion in their sixth year of service (see note below). Non-tenure track assistant professors may apply for promotion in or after their sixth year of service.

Note: The timeline for years in grade/rank begins with the date of official promotion at the previous grade/rank, which usually takes place on October 1st.

(a) Extension of Promotion Clock (tenure track). As per general AAUP guidelines and consistent with the American Association of University Professors Faculty Handbook Guide, promotion candidates may petition the Provost through their academic chain to have their “promotion clock stopped” due to family circumstances, military deployment, or other special situations. Such suspensions for promotion will normally not exceed two years.

(b) Waivers. Assistant professors may seek promotion to associate professor before their sixth year if indicated in their MOU or other written agreements for an accelerated timeline as recommended by the academic chain and approved by the Provost.

(c) If an application for promotion to associate professor is not successful:

1. Tenure Track. A non-renewable extension to the appointment will normally be given as needed to allow the faculty member one year of continued employment to facilitate transition to other employment.

2. Non-Tenure Track. Non-tenure track faculty members may request reappointment at the assistant professor rank and may reapply after not less than two years of additional service at this rank.

(3) Associate Professors (AD-05). Faculty appointed at the rank of Associate Professors are normally experienced scholars who possess an earned doctorate and have more than five years of professional academic experience at a lower academic rank; or are experienced national security professionals who have between 15 to 20 years of relevant professional experience including at senior field grade levels (O5-O6 or equivalent) hired for military or prior civilian national security leadership and expertise. The length of an initial appointment for newly hired associate professors is normally two years and is considered renewable upon mutual agreement. After holding the rank of associate professor for not less than six years, an associate professor may seek promotion to professor for both tenure track and non-tenure track faculty (see note below). In truly exceptional circumstances, upon approval of the Provost, through the appropriate Dean, applications for waivers for the time in rank as associate professor may be granted. If promotion is not successful on the first try, the faculty member may request reappointment at the associate professor rank and may reapply after not less than two years of additional service at this rank.

Note: If exceptional circumstances apply, faculty may apply to the Provost for a waiver to this timeline. Additionally, some associates professors hired prior 2018 will have a different timeline based on award of tenure. Their eligibility for promotion is based on their time as an associate professor, not based on their tenure date. In the case where the granting of tenure is not concurrent with appointment as associate professor, the six-year requirement begins with appointment as associate professor.

(4) Professor (AD-07). The title of professor signifies a scholar of stature, with a substantial body of academic achievement in their field. It is reserved for faculty who have demonstrated superior performance and productivity and have the potential for making future superior contributions to the college and the wider academic or professional practitioner community. The rank of professor denotes a faculty member who is capable of making contributions across the College outside of their normal duties; a potential mentor and example to other faculty; and a visible and engaged member of their respective scholarly or professional community (see note below).

Note: Non-tenure track faculty selected for promotion at the rank of professor (AD-07) will have their SF-50 updated to indicate tenure group 1, permanent appointment. Department Chairs, Directors, other administrative positions, and Special Appointments are addressed in Chapter IV, section 1.

(5) AD-09 Positions.

On behalf of the President, the Provost appoints faculty to fill key administrative and leadership positions throughout the College. Individuals in these positions serve in administrative and leadership positions as highlighted in the Department of the Navy’s Faculty Schedule for Administratively Determined (AD) Faculty Members effective January 2023 at the grade of AD-09, with the official title, “Administrative Faculty.” The AD-09 grade is not tied to academic rank (AD-01, AD-3, AD-5, AD-07), but is better described as a parallel structure (as an indicator of this description, the Navy’s Faculty Schedule AD-09 pay scale ranges from Step 20 to Step 70). AD-09 Administrative Faculty members are not required to have a minimum academic rank to serve in an AD-09 coded billet, but they are still considered members of the faculty.

Consequently, over the course of their service they are expected to not only perform their leadership or administrative duties, but also expected to contribute the College’s education, research, and outreach lines of effort. The MOU will specify that the individual is in an AD-09 coded billet as well as the specific roles, responsibilities, and expectations for all administrative and leadership faculty members. Supervisors will assign, approve, and weight annual objectives in each faculty member’s Defense of Defense Performance Management and Appraisal Program (DPMAP) performance plan.

All AD-09 positions are term appointments and not eligible for tenure (in the position) or a permanent appointment (in the position). All AD-09 positions are term limited, while the Provost may approve other renewals multiple times based on the nature of the position (see list below). All AD-09 faculty members are allowed to compete for promotion and tenure in accordance with the Naval War College’s Promotion and Tenure process. Competing for promotion to Associate Professor or Full Professor as well as tenure or non-tenure track will be based on the initial academic rank specified in the faculty members MOU. Upon completion of their AD-09 service, faculty members who entered the College on term-limited appointments, will revert back to either (a) the academic rank agreed to when they were hired and documented in their MOU; (b) their academic rank prior to assuming AD-09 duties, or (c), the academic rank they achieved through the College’s Promotion and Tenure process; whichever is higher.

Individuals will remain at the same grade or step they held while in the AD-09 position unless they advance through the promotion and tenure process. In other words, faculty members will not be disadvantaged financially and lose pay because of the transitions into or out of AD-09 positions. The Provost and Human Resource Director will review AD-09 billets annually as part of a routine human capital assessment; any changes to AD-09 billets will be done in consultation with the faculty member and their supervisor to determine whether the billet will remain as an AD-09 coded billet and assess any changes to the Faculty member’s status.

Current AD-09 positions are:

- (a) Key Leadership AD-09 Positions (Term Limited)

- 1** Provost
- 2** Deans
- 3** Department Chairs
- 4** Director, Naval War College Press

(b) Key Administrative AD-09 Positions (Term Limited and not eligible for Permanent Positions unless achieved through the Naval War College’s Promotion and Tenure process).

- 1** Associate Provosts
- 2** Deputy Deans or Associate Deans
- 3** Executive Assistants (EAs)/Deputies
- 4** Director of Institutional Effectiveness
- 5** International CNO Fellows
- 6** Retired Military Senior Mentors

All AD-09 positions - Leadership as well as Administrative - are subject to global search in the hiring process. On an exception basis, however, the President and Provost may authorize an internal search to hire faculty members into AD-09 coded billets. Appointments to term-limited positions are normally for three or four-year terms and may be renewed not more than once. An appointee desiring reappointment for a second term should submit a formal, written request to the Provost, through the appropriate Dean, at least six months in advance of the expiration of their term. The maximum service in term-limited appointments is eight years in the same position, whether consecutive or nonconsecutive. Individuals may serve in different AD-09 term-limited positions and the eight-year time period would start again for the new position. To give Deans and Chairs flexibility, those faculty members serving in AD-09 billets must submit a letter to the Provost requesting an extension to remain in the position beyond the term limit.

Individuals in AD-09 billets are subject to the same faculty pay bands as their AD-03, AD-05, and AD-07 counterparts throughout the College. Faculty in AD-09 positions may receive within grade pay raises and may receive longevity step increases that cause them to exceed the NWC-established Step 40 cap for Associate Professors. AD-03 and AD-05 faculty members in the tenure track may choose to “stop the clock” on their time towards tenure; alternatively, if they believe their contributions merit consideration, they may compete on their original timelines. Accordingly, faculty members in AD-09 billets are eligible to compete for promotion to the next higher academic rank (i.e., Assistant to Associate or Associate to Full) under the Naval War College’s Promotion and Tenure process. Faculty Members in AD-09 positions are subject to the same termination requirements and restrictions as their counterparts in AD-03, AD-05, or AD-07 billets.

Faculty in AD-09 coded billets have the same DPMAP requirements and opportunities for professional development as other faculty members. The DPMAP for most faculty members serving in AD-03, AD-05, or AD-07 billets are centered on Education, Research, and Service. Faculty members serving in AD-09 billets will include a performance element dealing with their administrative or supervisory duties and performance. Although faculty members in AD-09 billets are primarily performing leadership and/or administrative duties, they are not Government Service / general schedule (GS) positions and consequently each AD-09 faculty member will be expected to accomplish education, research, and service elements over the course of their terms. As noted, the details the AD-09 specific duties, responsibilities, and performance elements will be agreed to with their supervisors and annotated on their annual DPMAP Performance Plans.

NOTE: The Naval War College will honor all agreements made with faculty prior to the establishment of this AD-09 policy.

(6) Naval War College Promotion Standards. Promotion is based on exemplary performance, contributions over time, and future potential to succeed at the next higher level. All candidates for promotion and/or tenure must meet or exceed expectations in all three areas of faculty duties (education, research, service) per this instruction and as further elaborated in respective department guidelines. Promotions are based on merit; they are not automatic based on length of service. Promotion anticipates the ability and motivation to excel at the next higher rank.

(a) Assistant Professor. Instructors and Research Associates (employed as AD-01s) who are eligible for promotion to Assistant Professor should have completed a terminal degree or attained sufficient professional expertise to warrant appointment to a higher academic rank. The candidate should show promise of future high-quality work in all three areas of faculty duties (education, research, and service). Promotion for eligible instructors to Assistant Professor is handled through the academic chain, rather than through the NWC Promotion and Tenure Committee. Upon achievement of Assistant Professor rank, employees abide by the NWC P&T committee provisions of this handbook.

(b) Associate Professor. For promotion from assistant professor to associate professor, candidates in both tracks must demonstrate excellent performance and potential for continued improvement, maturation, and sustained future accomplishment in all three areas of contribution (education, research, and service) per the needs of their academic department, deanery, and college. Descriptions of excellent performance in each area for each track are outlined in subparagraphs 10b(6)(b)1a through 10b(6)(b)1c; with amplifying detail provided by departmental-level promotion standards.

1. Tenure-track faculty seeking promotion to associate professor with the concurrent award of tenure shall demonstrate the following. These standards also apply to tenure-track associate professors who have not had tenure awarded yet for various reasons (see note below).

Note: Untenured tenure-track associate professors are faculty members who were (1) hired as tenure track associate professors without tenure, in which case they should seek tenure in accordance with the timeline outlined in their MOU; or (2) re-categorized from non-tenure track associate professor positions, in which case they must seek tenure within four years of re-categorization.

a Education. Excellent performance in classroom teaching and significant contribution to curriculum development.

b Research. Evidence of a high level of scholarly productivity with demonstrated impact in their field; established standing in academic discipline; and potential for future accomplishments as defined by their department. A high level of scholarly productivity is demonstrated by a significant publication record, which could include the publication of well-regarded academic books, high-quality peer-reviewed articles, or equivalent work in the form of textbooks, book chapters, or monographs, etc.

c Service. Excellent performance for service as defined by the department, which may include: serving on committees within NWC; serving as a peer reviewer for journals and presses; and taking leadership roles in professional organizations and conferences. Service beyond the faculty member's department/college and beyond NWC (DON, DoD, USG) is highly valued. Candidates should also demonstrate their ability to work effectively with others in advancing the NWC mission, detailed in OPNAVINST 5450.207E, beyond the contributions directly associated with education and research.

2. Non-tenure track faculty seeking promotion from assistant to associate professor shall demonstrate the following. The three categories of faculty contribution (education, research, service) may be proportionally weighted per standards established by the faculty member's department and college to reflect particular special duties or accomplishments of individual applicants.

a. Education. Excellent academic or professional instruction, including individual instruction (such as supervising students' directed research); curriculum development; effective delivery of knowledge to NWC, the Navy, and DoD (to include short courses, simulations, tabletop exercises, war games, and briefings); significant contributions to educational program development.

b. Research. Evidence of high-level contributions to the knowledge base in the faculty member's professional field including high-level research and/or significant contributions to the research, analysis, and gaming functions of the NWC as defined by the respective department. This may include participation in mutual collaboration with colleagues. Examples of high-level applied research include significant contribution to Service/Joint doctrine; creation of education and training materials; published game reports, articles, and reviews in policy and professional journals; presentations at professional conferences; or other professional recognition as an expert within respective fields.

c. Service. Excellent performance in service as defined by department needs, which may include serving on committees within the NWC; leadership in creating procedures or improving the functions of the department or college; or leadership in activities within professional organizations in their field. Service beyond the home department/college (NWC, DON, DoD, etc.), including leadership roles or contributions as members of external professional organizations, is highly valued. The candidate should also demonstrate the ability to work effectively with others in advancing the NWC mission, detailed in OPNAVINST 5450.207E, beyond the contributions directly associated with education and research.

d. Non-tenure track associate professors may apply for permanent appointment to associate professor through their academic chain after not less than six years in that position (see note below). Departmental standards for a permanent appointment for non-tenure track faculty are expected to be comparable to tenure track faculty seeking tenure, in terms of exemplary contributions in education, research, and service, weighted according to the priorities of their department. Non-tenure track faculty are not required to separately apply for a permanent appointment before applying for promotion to professor.

Note: This may also be called "appointment without term" in some cases, consistent with employee MOUs.
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(c) Professor. For promotion from associate professor to professor, candidates in both tracks must demonstrate a longer sustained record of superior performance and potential for continued superior performance in all three areas of expected faculty accomplishment (education, research, service) per both departmental and college-wide standards. Descriptions of sustained superior performance in each area for each track are outlined in further detail below, with amplifying detail provided in department-level standards.

1. Tenure-track faculty seeking promotion from associate professor to professor shall demonstrate the following.

a. Education. A longer sustained record of excellence in classroom teaching and superior contributions to curriculum development, including leading department and/or college-wide curriculum efforts and significant contributions to the improvement of departmental and NWC academic programs.

b. Research. An additional iteration of high-level contributions to the knowledge base in their professional field as described for promotion to associate professor. Contributions include consideration of their whole academic record with emphasis on what has been achieved since appointment to associate professor. They may include participation in and leadership of mutual collaborations with colleagues, as well as evidence of the faculty member's impact on and standing in their field. The specific research contributions are best described by the individual faculty departments and colleges, with their distinct missions and metrics of achievement. Evidence of qualifying research is demonstrable records of research accomplishments fairly assessed by faculty peers from across the college.

c. Service. A longer sustained record of excellence in college-level and higher service, including taking on leadership positions within NWC and/or in professional organizations. The candidate should demonstrate the ability to work effectively with others in advancing the NWC mission, as defined by OPNAVINST 5450.207E, beyond the contributions directly associated with education and research.

2. Non-Tenure-track faculty promotion from associate professor to professor should demonstrate the following. The three categories of faculty contribution (education, research, service) may be proportionately weighted per the standards established by the faculty member's department and college. If not already granted, an appointment as a professor includes a permanent appointment with an MOU without term.

a. Education. A longer sustained record of excellence in classroom instruction or individual instruction; significant contributions to the continuous improvement of departmental and NWC academic programs including curriculum development and participation in the development of electives or other courses beyond the core curriculum. It may also include the effective delivery of knowledge to the NWC, the Navy, and the DoD (to include short courses, simulations, tabletop exercises, war games, and briefings).

b. Research. An additional iteration of contributions to the knowledge base in their professional field as described for promotion to an associate professor that has an impact across the community of practice. This may include participation and leadership in mutually reinforcing collaboration with colleagues. Examples include: significant contribution to Service/Joint doctrine, authorship or co-authorship of educational or other professional materials or curriculum development; published game reports; conducting directed research in support of DON or DoD programs, articles and reviews in policy and professional journals; presentations at professional conferences; professional recognition as evidenced by invitations, reviews, awards, or other methods of high-level professional recognition.

c. Service. Significant service and leadership to the College and profession; demonstrates a rising stature within their field of expertise through a record of increasing professional service reflected by contributions to the NWC, to peer professional organizations, and partnerships working with peer institutions. The candidate should also demonstrate their ability to work effectively with others in advancing the NWC mission, as defined by OPNAVINST 5450.207E, beyond the contributions directly associated with education and research.

(7) Mid-Term Tenure Track Review (Tenure-Track Faculty)

(a) Deans are strongly encouraged to conduct a formal review of a tenure-track faculty member who has not yet been awarded tenure. This should be conducted during the third year of employment, assuming a standard tenure clock. An earlier review will be arranged for those with a shortened tenure clock, whereas mid-tenure review may be delayed if the tenure clock has been extended due to approved circumstances (e.g., parental leave or military reserve duty). A mid-tenure review is a process separate from, but informed by, the annual performance plan, through which the department will evaluate a tenure-track faculty member's progress and potential. The review is designed to identify areas for further improvement before the faculty member submits a formal promotion and tenure application.

(b) Under a department or deanery's procedures, the Chair or Dean will convene a committee of associate and full professors, at least half of whom must be tenured, to review the candidate's performance in education, research, and service. Candidates will provide: a letter that outlines their performance in education, research, and service; an updated curriculum vitae (CV); and any additional materials requested by the department or deanery. Letters from outside reviewers are not expected.

(c) The committee will evaluate the candidate against published departmental promotion and tenure criteria and provide a written report to the Chair or Director. A discussion will take place regarding whether the candidate is making sufficient progress towards tenure and if not, how that might be achieved. The Chair or Dean will also send confirmation that the review is complete through the academic chain with a written summary of the faculty member's progress in the areas of education, research, and service. The summary will include specific guidance the faculty member received about their performance and areas in need of improved performance before, and in support of, a submission of a promotion and tenure application.

(8) Other Faculty Appointments. Refer to Chapter IV, paragraph 10b(5) regarding the process for faculty appointment into and out of AD-09 positions.

(9) Faculty Evaluations. Refer to Chapter IV, paragraph 9.

c. Procedures

(1) Formation of P&T Committees. The NWC P&T Committee will evaluate faculty members' P&T applications, including respective Department P&T Committee reports, and Chair and Dean recommendations from across the NWC, and make recommendations for promotion and tenure regarding faculty members to the Provost based on NWC and respective department's P&T standards consistent with this instruction.

(a) NWC P&T Committee.

1 The NWC Faculty P&T Committee is charged with making recommendations to the Provost for faculty promotion to the Provost as the NWC Senior Civilian and Dean of Faculty. The committee will consist of at least seven professors (AD-07) and two associate professors (AD-05). Committee membership will have a proportional representation from each Deanery/Department based on faculty size and availability. NWC faculty who hold administrative or executive positions (AD-09) are ineligible during the time they hold such positions and within two years of serving in administrative or executive positions.

2 Each year the Deans of Academics, the College of Distance Education, the Center for Naval Warfare Studies, the College of Maritime Operational Warfare, the College of Leadership and Ethics, and International Programs will provide to the Provost a list of all faculty eligible to serve on the NWC P&T Committee. From these lists, the Provost, in consultation with the Faculty Advisory Council, will select members of the NWC P&T Committee. Based on faculty size, the Dean of Academics, the College of Distance

Education, the Center for Naval Warfare Studies, and the College of Maritime Operational Warfare will each hold two seats while International Programs Office and the College of Leadership and Ethics may hold one seat. Once their terms of membership have expired, individual faculty will again become eligible to serve after one year has elapsed. Committee members will be appointed for staggered two-year terms. Subsequently, the Provost may adjust the length of appointment (one or two years) to maintain balance and a 50 percent turnover rate.

3 The NWC P&T Committee will convene annually, with its first organizing meeting to take place no later than 1 April. Each year the committee will select co-chairs who must come from different deaneries, preferably one from the tenure track and one from the non-tenure track. Neither associate professor (AD-05) serving on the committee is eligible for selection as a co-chair. Each co-chair may serve as a co-chair for two consecutive years but may not serve as a co-chair for more than a total of two years within a ten-year period at the college. The co-chairs' responsibilities include ensuring that the committee meets the schedule of the calendar that the committee has published, convening and chairing the meetings, assigning committee members' tasks in support of the committee's proceedings, and communicating the committee's recommendations to the Provost. The committee will conduct its business with due attention to both transparency regarding process and faculty privacy; each member will sign a non-disclosure agreement to protect the privacy of faculty. Internal committee discussions will proceed based on non-attribution and shall not be disclosed unless authorized by the Provost or PNWC. The committee must have a minimum of seven members, including at least one of the committee's co-chairs, present to achieve the necessary quorum to conduct business. The Provost will provide administrative support to the committee as required, including a secure storage space for its records.

(b) Department P&T Committees. Each department chair or director nominates committee members, approved by the respective dean to screen P&T applications and make P&T recommendations. The departmental P&T committee shall be composed of no fewer than three faculty with at least two of the academic rank higher than the candidate seeking promotion. All departmental P&T recommendations carry by a majority vote.

(2) Publication of Department Standards

Each department must produce internal P&T guidelines per NWC policy which reflect relevant professional standards. Guidelines must then be reviewed and approved by the respective dean before being forwarded to the Provost and NWC P&T Committee. Department standards will be published on the NWC intranet. Transparent departmental standards are intended to assist candidates in assembling their application package and inform the NWC P&T committee of departmental standards used to internally assess P&T candidates.

It is not feasible for this instruction to adequately outline the wide range of activities and disciplines represented by the NWC faculty, so this instruction requires the academic chain to provide a detailed explanation of what constitutes excellence for their respective faculty. Deans and department chairs provide P&T standards, guidance and expectations to individual faculty members seeking P&T, which departmental P&T committees use to assess applications' qualifications and provide recommendations to department chairs, deans, and the NWC P&T Committee in assessing the array of academic disciplines and specialties represented by the diverse faculty.

If department standards change, revised standards must be published no later than 1 September annually.

(3) Applicant Packages

It is the responsibility of individual applicants for promotion and/or tenure to demonstrate to the satisfaction of departmental and NWC P&T committees how they have met or exceeded all relevant standards outlined in this instruction and elaborated in departmental policies. As a guiding principle, all applicants are expected to demonstrate their capabilities and commitment to maintaining high levels of productivity and effectiveness as valued members of the NWC faculty. An applicant is expected to provide, per the respective department's procedures, two external letters from individuals in good standing who are outside the NWC and within the applicant's discipline; these letters should directly address how the applicant's scholarly and/or professional record relates to the norms of their professional discipline. The letters should demonstrate that the applicant is a visible and engaged member of the professional community. External letters are not intended to be shared with the applicant and therefore sent directly to the department P&T committee by the external assessor.

Each respective department's P&T committee will review an applicant's promotion package and make recommendations for the promotion or non-promotion of the faculty member who submitted the package by an annual deadline. Letters that recommend or do not recommend an applicant for promotion are expected from respective department chairs, directors, and deans for review by the NWC P&T Committee.

The chain of command will meet with each candidate prior to final submission of their packet to the NWC Promotion and Tenure Committee to inform them of the recommendations of the Dean, Chair, and internal committees. The elements of a faculty promotion and tenure packets are described in Appendix D.

(4) Annual NWC P&T Process and Timeline

	Milestone	Remarks
STEP 0	1 August	Candidate declares intent to seek promotion NLT 1 August through a letter of intent to the department chair/director. The chair provides names of expected candidates to the dean. College establishes the P:// drive NLT 1 October in which applications are stored and reviewed by NWC P&T committee members.
STEP 1	Normally October-December	Department announces and publishes internal standards (if changed from the previous cycle) NLT 1 September. Departments and colleges assemble internal promotion and tenure committees.
STEP 2	Normally October-December	Deans/directors/chairs notify faculty of the deadline for submitting P&T applications for internal review and provide the departmental and NWC P&T guidelines that are consistent with this instruction. The specific college-wide deadline for P&T applications to be submitted to departments will be published on or about 1 December annually.
STEP 3	(As appropriate)	(Where appropriate) a faculty member may submit a request for a time-in-grade waiver for promotion or an extension of the probationary period through the respective academic chain to the Provost for decision.

	Milestone	Remarks
STEP 4	Normally October- December	<p>Candidates assemble P&T applications with the assistance and guidance contained in the enclosures of this instruction: enclosure.</p> <p>(1) “Best Practices & Expectations for P&T Applications.” And enclosure (2), Summary of Eligibility & Standards</p> <p>External letters endorsing the applicant’s professional record and good standing sent to departmental P&T committee.</p>
STEP 5	Jan-Feb	<p>Candidates submit P&T applications to the respective department/college P&T committee through departmental procedures. Candidates may submit performance evaluations (e.g., DPMAP) with their promotion applications as evidence of their performance. If submitting an annual evaluation, the entire evaluation must be included in the package. Candidates will not be penalized by P&T committees for not submitting performance evaluation materials.</p> <p>Candidates will route promotion and tenure packages through their academic chain (as defined in reference (k)). Applications will be routed with endorsements from department chairs or directors to deans to the NWC P&T Committee according to the schedule outlined in this instruction.</p>
STEP 6	Jan-Feb	<p>Department/college P&T committees review candidate applications and accompanying endorsements/recommendations. For each candidate it evaluates, the department/college committee will create a thorough written report that includes its reasoning and the standards and evidence on which its recommendation is based. The committee will submit the report and recommendation for each candidate it considered to the appropriate next-level authority. In some instances, this is the department chair, in others, this is the dean or director. With the former, the department chair reviews the committee’s recommendations and writes a letter concurring or non-concurring with the committee’s recommendation. The recommendation and next-level authority endorsement is then submitted to the respective dean or director. At this time, the departmental P&T committee chair will provide the applying faculty member with copies of the letter and committee recommendations.</p>
STEP 7	Jan-Mar	<p>Dean/Director reviews the committee’s recommendation and, where applicable, the department chair’s recommendation and writes a letter concurring or non-concurring with the departmental P&T committee’s recommendation(s). The candidate’s application, the department P&T committee recommendation, relevant director and dean endorsements, and external letters will be submitted to the NWC P&T Committee (via the P:Drive). At this time, the applicant’s supervisor will provide a copy of the chair, director and/or dean’s endorsement.</p>
STEP 8	1 April	<p>Candidates’ applications with Departmental and Dean recommendations are submitted by the deans to the NWCP&T Committee on the P:Drive.</p> <p>NWC P&T Committee convenes.</p> <p>Shared drive (P://) closes for package submissions.</p>

	Milestone	Remarks
	Apr-May	The NWC P&T Committee reviews all application packets for promotion and/or tenure from each department and college.
	June	NWC P&T Committee members discuss and vote on packets. A vote will be taken for each candidate who applied promotion or tenure. A committee recommendation is determined by the majority of those present (assuming a quorum of the committee is present) at the meeting but the majority vote must include a vote by at least one member from three of the five deaneries. No proxy votes will be permitted for members who are not present. Committee deliberations will be private and not releasable to the faculty. The number of votes in favor and opposed to promotion or tenure will be reported to the Provost but not the votes of individual members.
	NLT 1 July	The NWC P&T Committee will recommend to the Provost that a faculty member be promoted or not promoted, providing a thorough written report that includes its reasoning and the standards and evidence on which its decision is based. Such written reports will be consistent in form, content, and quality with those used by civilian institutions of higher learning. The report will include the promotion application considered by the departmental P&T committee as well as the endorsements from the respective department chair and/or director and respective dean. The committee co-chairs will maintain written records of proceedings.
STEP 9	As determined: Before NWC Faculty Cloister	The Provost will review the NWC P&T recommendations, make decisions, and inform the academic chain. The Provost will inform PNWC of the decision and review the appeals process consistent with this instruction and the authorities delegated from PNWC to the Provost.
STEP 10	Before Cloister	The Provost will notify all candidates verbally and in writing of the decision on their P&T applications. The notification will include the reasoning, standards, and evidence on which the decision is based. Feedback to candidates who failed selection may address broadly where the package fell short of standards and areas for improvement. Any faculty member not recommended for promotion and/or tenure has the right of appeal in accordance with this instruction.

Milestone	Remarks
Faculty Cloister (early August)	Faculty awards of promotion and tenure announced publicly.
1 September (or 30 calendar days from faculty receipt of written notification)	Deadline for appeals. The Provost may consider appeals after 1 September on a case by case basis, in the event that a procedural or substantive deficiencies become known after the deadline,

(5) Appeals

Faculty members not selected for P&T by the most recent NWC P&T Committee may appeal the results of the P&T process. Positive consideration of a promotion or tenure appeal requires evidence of significant misapplication of promotion standards or procedural irregularities. Only one appeal will be considered per academic rank consideration.

Appeals must be submitted in writing within 30 days of receiving written notification of the Provost's decision. The appeal must clearly delineate the grounds for appeal.

An appealing faculty member shall route a written appeal through the respective academic chain addressed to PNWC, explaining in detail the reason for the appeal and providing any substantiating evidence or supporting documentation.

The Associate Provost for Education and Faculty will coordinate a meeting with the candidate, the respective dean and department chair or director, representatives from the NWC P&T Committee, a representative from the Faculty Advisory Council, the Provost, and PNWC. The candidate appealing may request faculty and staff members to attend the meeting and speak on their behalf.

During the meeting, the candidate will be asked to present evidence to support the grounds for the appeal and will have the opportunity to ask questions about the decision not to approve promotion or tenure. The PNWC will lead a discussion to clarify the appeal as needed.

Within 14 calendar days, the PNWC will make a final decision on the appeal and will provide the candidate with written notification of the decision.

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

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

(1) Dean of Academic Affairs Departments. At the beginning of the academic year, experienced professors typically lead a series of group discussions with new faculty members about teaching methods as well as course content. During the year, the core academic departments hold numerous "bootstraps," or workshops, to discuss the options available to teach different case studies or issues. At the end of the teaching terms, there are after action course review or departmental retreats devoted to improving the presentation of the core courses in the next academic year; student feedback from the end-of-course critiques forms an important basis for discussion. In the curriculum development that follows these retreats, experienced and inexperienced faculty members work together in teams. In all the resident teaching departments, faculty members share offices, and in most seminars professors are grouped in teaching teams, normally with the most experienced teachers paired with the least experienced. These arrangements allow for intensive mentoring and mutual examination of teaching strengths and weaknesses. In cases where new faculty members are not part of teaching teams, they attend classes as auditors and observe seminar moderators in order to enhance their preparation for teaching seminars on their own.

(2) College of Distance Education. CDE makes a major effort to ensure adjunct professors remain closely aligned with the course content and teaching methods of the resident program. Most adjuncts attend a robust 3-day workshop in Newport before the beginning of the academic year between July and August to remain current on course content and teaching methods from both full-time professors in the CDE program and faculty members of the resident departments. During the academic year, both CDE and resident faculty may travel to the off-site seminars to give teaching advice to, and

make in-person teaching assessments of, the adjunct professors. Full-time CDE faculty members in Newport also conduct frequent meetings and online workshops that keep adjunct professors around the United States informed of new developments and engaged in feedback processes. These full-time CDE faculty members maintain close contact with their counterparts in the resident teaching departments, for example, by attending their annual retreats, their frequent faculty bootstraps, and (on occasion) their seminars with students.

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

(4) Center for Naval Warfare Studies. In the CNWS, the War Gaming Department conducts a one week War Gaming Professional Development Course twice annually to introduce the art and science of wargaming to new WGD faculty members. The course provides an overview how to plan, execute, and analyze war games. As wargaming is as much art as it is science, the senior War Gaming faculty provide mentorship and knowledge to both new civilian faculty members and to the military faculty members assigned to the department. Professional development in the area of wargaming is open to any faculty member at the College.

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

(6) International Programs. International Programs promotes the teaching of international officers through the delivery of full academic year-long course fully integrated with the U.S. student-populated College of Naval Warfare and College of Naval Command and Staff, and two organic courses: The Maritime Security and Governance Staff Course (MSGSC) and International Maritime Staff Operators Course (IMSOC). Faculty preparation for the fully integrated courses is conducted by the Dean of Academic Affairs departments as that curriculum is delivered by DAA faculty. IMSOC is primarily delivered in cooperation with and by faculty of the College of Maritime and Operational Warfare (CMOW). CMOW ensures each faculty member is prepared in accordance with Chapter IV, paragraph 11.a.(3) of this Handbook. MSGSC is designed for mid-grade officers of global navies and coast guards tasked with confronting complex maritime threats such as protecting freedom of the seas, fighting maritime crime, protecting maritime resources and promoting thriving offshore economies. The course is taught by faculty resident in International Programs as well as visiting experts in maritime security, naval planning and operations, maritime domain awareness, international law, wargaming, interagency cooperation and more." Faculty prepare through a rigorous review of the curriculum, and then delivering lectures and seminars in front of the Director and peers, and making refinements based on this process.

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

There are many opportunities for professional development afforded by activities at the College. Cross-departmental Regional Studies Groups bring together on a regular basis faculty members with expertise on different regions around the world. There are numerous other ways in which faculty members may enhance expertise through research, analysis, or gaming involving collaboration between departments. Faculty members may also enhance or extend their expertise by teaching or taking electives.

Course Directors and Department Chairs may make time available to their faculty members who want to fulfill unmet learning objectives for JPME Phases I and II certification to take the JPME courses offered by the other teaching departments. Faculty members who take all the required courses may receive not only JPME I or II certification, but also the Master of Arts Degree in Defense and Strategic Studies for the intermediate course or National Security and Strategic Studies for the senior course. Interested faculty should refer to Chapter IV, paragraph 11g, for specific policies and procedures related to this opportunity. Departments may hold faculty seminars and sponsor lectures of opportunity that allow those in attendance to maintain currency or enhance expertise on important issues. International officers who are students at the College give presentations on their countries.

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

(1) Membership in Professional Organizations

(a) Official Capacity. Pursuant to Joint Ethics Regulations, Chapter III, DoD Personnel generally may not hold membership in nonfederal entity (NFEs), including a professional association, in their official capacities or participate in their official DoD capacities in the management or operations of NFEs. PNWC or Provost may, however, appoint personnel in their official capacities, to serve as a DoD "liaison" to an NFE for the exclusive purpose of representing DoD's views and interests to a NFE, after a written determination has been made that there is a significant and continuing DoD interest in such representation. The liaison may not be involved in the day-to-day management, control, or operations of the NFE. Personnel wishing to interface with an NFE in their official capacity must remain mindful of the prohibitions against membership and participation in management/operations in their official capacities and the requirement for a written appointment as a "liaison" if desiring to conduct any of the activities a liaison would. Requests for appointment as a "liaison" to a particular NFE must be routed to the Provost for decision via Flag Admin and will be reviewed by the SJA.

(b) Personal Capacity. In their personal capacity, faculty members are free to join most private organizations and groups, both within and outside their areas of expertise. (Groups that advocate the overthrow of the U.S. Government or support racist or supremacist views are

among the few types of groups that U.S. Government employees may not join, even in a personal capacity.) They may help manage the group and privately endorse the group's views and positions. However, they may not use their official NWC positions in any manner that appears to imply the U.S. Government, DoD, the Navy, or the NWC endorses a particular view, or the group as a whole. Specifically, the faculty member may not identify him- or herself solely or prominently as an NWC faculty member when the group takes a position on any matter. Faculty members may only identify their official NWC positions when they are included as just one facet of many other biographical facts of their professional and/or personal lives. . Personnel must also remain mindful of applicable restrictions of political activities in DoDD 1344.10 and Hatch Act.

(c) All cases. Personnel should read Chapter III of the Joint Ethics Regulation in its entirety to ensure any participation in professional organizations or other nonfederal entities complies with applicable laws and regulations.

c. Sabbaticals and Professional Development Opportunities.

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

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

While every request for professional development involving relief from departmental responsibilities will be considered equitably, available resources limit the number, frequency, and duration of such requests that can be granted. Paid periods of professional development are important to the College, its leadership, and the faculty, but they are not a right to which any faculty member is entitled. They are granted as deemed consistent with mission requirements and available resources, considering the criteria below.

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

Procedures to Apply. A faculty member interested in applying for sabbatical or another faculty professional development opportunity shall inform their Dean, through their Department Chair/Director, in writing as early as possible, and not less than four months prior to the planned starting date, so that the manpower implications of the absence can be assessed and, if necessary, action taken to mitigate a personnel shortfall. The applicant must submit a curriculum vitae and a written statement describing the purpose of the requested period of professional development and identifying the benefit expected for the individual and the NWC. All applications shall be routed by the respective Dean or Director through the NWC's Office of the General Counsel and Human Resources Office for legal sufficiency.

In cases of multiple applicants, the responsible Dean, Department Chair, or Director will rank applicants according to the eligibility criteria above. That Dean, Department Chair, or Director will submit the applications to the Research Council, explain each one, and justify their ranking of them. Though faculty members may request a relief from departmental responsibilities of up to twelve months, the Research Council or the Provost may decide, in light of the number of meritorious proposals submitted and the financial resources available to support them, to grant a shorter period of relief from departmental responsibilities in a given case.

The Associate Provost for Research shall provide the results of the Research Council's deliberations and voting to the Provost, who shall review the process of selection and have final right of approval.

Obligated period of service and reporting requirement: The College expects that faculty members who are authorized to undertake a paid period of professional development continue in service at the NWC for two years after that period ends and requires a faculty member awarded a paid period of professional development to submit a report of what they accomplished during that period. This report shall be submitted to the Provost via the respective Dean, Chair, or Director within thirty days of completion of the paid period of professional development. Failure to achieve satisfactory progress toward the professional goals outlined in the request for professional development shall be documented in the faculty member's next annual performance appraisal.

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

Requests for waiver. Requests for waiver or variance of any conditions described earlier shall be submitted through the Dean, Director, or Chair to the Provost for approval with relevant justification. Such waivers or variances will normally be granted in extraordinary cases, or for the good of the College. Decisions of the Provost in these matters may be appealed to the President, Naval War College, whose decision is final.

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

Funding: The College will not normally reimburse faculty for travel, per diem, or other costs of their research activities during a period of paid professional development, unless on official orders for a particular event. If funding is available, requests for such funding may be entertained by the Dean, Director, or Chair, consistent with the policies of that organization. A faculty member who seeks to combine a paid period of professional development for part of an academic year with an outside grant for an additional part of that academic year is required to consult with the responsible Chair or Director, Dean, and Provost at the time of the initial application for professional development and keep them informed of the status of the grant proposal thereafter.

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

Options for Professional Development.

The College offers two options for paid professional development (sabbatical of 6-12 months, and short-term focused professional development of 1-6 months), one option for unpaid professional development (unpaid research leave), and procedures for temporary work with other federal agencies and institutions.

(1) Professional Development Option I: Sabbatical. (*Periods of Relief from Departmental Responsibilities with Full Salary for 6-12 months.*) A period of six to twelve months with full pay may be granted to a civilian faculty member for purposes of professional development. In most cases, applications for periods shorter than twelve months, or which do not require teaching faculty to miss more than one trimester of instruction, are more likely to receive favorable consideration. Faculty exchanges may be in the interests of the educational mission or academic reputation of the NWC and will be considered on a case-by-case basis by the Provost in consultation with the Deans. Deans, Directors, and Chairs may establish policies within their organization regarding the timing, prioritization of requests for sabbatical, provided they are consistent with the requirements described earlier. The faculty member's basic salary and other entitlements are unaffected by acceptance of this option.

(2) Professional Development Option II: Short-Term Focused Professional Development (*Administrative and Teaching Periods of Relief from Departmental Responsibilities with full salary for 1-6 months.*) A civilian faculty member may request a period of up to six months with full pay in which he or she will be freed of all administrative and teaching duties in order to do research on an individual project. Such administrative research relief from departmental responsibilities is normally granted only during the term in which the faculty member's department is not teaching its core course and/or during the summer between Commencement and Convocation, (which is normally less than six months in duration). For departments that do not have nonteaching terms and/or summer breaks, the period granted is at the discretion of the appropriate Dean, Chair or Director. A written request must be submitted to the responsible Dean, through the Department Chair/Director, at least four months in advance and must include an explanation of, and justification for, the research project, as outlined in paragraph above. Requests must also be forwarded to the SJA or Office of the General Counsel and the Human Resources Office. Final approval rests with the Provost. If the period requested overlaps with teaching or other significant departmental responsibilities, option I (sabbatical) may be more appropriate.

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

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

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

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

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

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

Before making a decision with respect to Option III, a civilian faculty member shall consult with the Human Resources Office about specific details in relation to their entitlement.

(d) Professional Development Option IV: Other Federal Employment (Temporary Resignation to Accept Other Federal Employment). Federal statutes preclude an individual from simultaneously holding more than one appointment that results in tangible benefit to them including benefits as described in Option III. Therefore, Option III cannot be approved for a faculty member who accepts a research or teaching position at another Service college or accepts any other paid appointment in the federal government. In situations of this nature, the best course of action is resignation, in order to remove any appearance of impropriety or conflict of interest on the part of either the faculty member or the NWC. A civilian faculty member may submit a personal written request to the Provost, via the chain of command, the Office of the General Counsel, and the Human Resources Office for release from immediate NWC responsibilities for a period of up to twenty-four months in order to participate more fully in government affairs or accept an important assignment at another Service college. On an individual basis, and contingent on the availability of a funded faculty vacancy at a later period, the Provost will give positive consideration to reemployment of the faculty member. All parties to this agreement will understand that there is no guaranteed right of return. Positive consideration is for existing vacancies, not for *pro forma* reappointment to the position previously held. Unless agreed in writing between the faculty member and the Provost prior to the expiration of twenty-four months of absence, this consideration shall not extend longer than twenty-four months.

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

d. External Professional Development

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

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

will generally have flexibility in determining whether a particular professional activity is official or personal. Once this assessment is made, the faculty member must abide by the legal and ethical parameters that flow from this determination.

f. Battlefield Staff Rides. Staff rides are an extremely effective educational tool, for both students and faculty, providing significant benefits to the study of operational art, leadership, and planning. The staff ride begins in the classroom or library with a thorough examination of the historical case, and extends to the field as a long-proven method for faculty or students to see the terrain the commanders saw, discuss the outcomes of the local tactical actions and apply lessons to the larger operations or campaigns. While much learning can occur from looking at maps, actually seeing the ground where battles occurred provides insights far beyond what can be gleaned from a map. This leads to a deeper understanding of operational and tactical decision making, and by extension war itself. There are several sources for funding and other resources, including Departmental budget inputs, the faculty development process, and through external funding sources, such as the Naval War College Foundation (for more information on NWC Foundation funding, see Chapter IV, section 14i).

g. Faculty/Staff Pursuit of JPME and/or Master's Degree at NWC.

(1) Qualifications for Program. There are cases faculty assigned to the Naval War College may be given an opportunity to pursue JPME and/ or the Master of Arts degrees in the CNW or CNC&S courses, typically on an exception basis. This case has normally applied to military faculty or staff assigned to the Naval War College who do not have JPME. For military faculty needing JPME II, the preferred course is to request a slot at the Joint and Combined Warfighting School's 10-week resident course in conjunction with PCS orders to Newport. As teaching or staffing demands allow, and subject to the approval of the Department Chairs and Deans, NWC faculty can enroll and complete coursework towards JPME II and the master's degrees during their assignment.

(2) In-Residence Procedures. NWC faculty and staff who are required to complete JPME II or would be professionally enhanced by an NWC Master's degree or diploma from the CNW or CNC&S in residence will:

(a) Submit an academic plan, endorsed by their Department Chair, Director, or supervisor, as well as the department Chair(s) offering the course(s), to the Dean of Academics for approval. The Dean of Academics will advise the applicant and endorsing addressees of approval or non-approval. In the case of approval, the Dean of Students office and the Registrar will also be advised.

(b) Complete satisfactorily all seminars, lectures, papers, and examinations for required courses. Using recorded lectures may be allowed with the department Chair's permission when other duties preclude personal attendance.

(c) Seek waivers when appropriate for teaching or gaming faculty. Written certification, from the relevant Department Chair or Director, of satisfactory completion of the required minimum equivalent will be forwarded to the Dean of Academics and the Registrar.

(3) The process of qualifying for the NWC Master of Arts (M.A) degree or NWC diploma may be accomplished over the entire period of the individual faculty member's assignment to the NWC. Department Chairs or Directors must first determine the effect on departmental or organizational staffing and then evaluate the faculty member's capacity to successfully complete all required course work and be of the appropriate pay grade. Resident students should be O-3 or O-4 to enter CNC&S. CNW resident students should be O-5, selected for O-5, or O-6. Faculty applying to the CNC&S nonresident programs may be O-3 to O-6. Normally, a member of the teaching or wargaming faculty who earns course equivalents can complete diploma requirements in two years. Other faculty and staff can normally qualify for the NWC M.A or diploma, taking all core JPME courses, in three years. The PNWC will consider exceptions on a case-by-case basis.

(4) Naval War College Faculty Grading Criteria. All course requirements will be completed for grade. Those faculty or staff members who earn a final grade of no less than a B– in each core course or ARP, and who pass an elective course in each of three trimesters, will be awarded the NWC Master of Arts Degree for their respective course of study (National Security and Strategic Studies for CNW; Defense and Strategic Studies for CNC&S). An NWC faculty member assigned to one of the resident JPME core course departments, or to CDE, may earn the degree by completing the following:

- (a)** Teach one seminar in the resident or nonresident core course to which assigned. A faculty member who does not teach the entire curriculum of their department will either take a graded written examination or complete a research paper (fifteen pages in length) within the department core JPME course learning objective, but outside the faculty member’s immediate teaching field. The appropriate Dean or Department Chair will assign and provide for grading the product of this requirement.
- (b)** Take in-residence the other two core JPME courses (Strategy and Policy, National Security Affairs, or Joint Military Operations), earning at least a B– in both. All course requirements will be completed for grade. The grade the student will receive for their own department will be the average of the grades awarded in the other two core JPME academic departments.
- (c)** Teach or take three different electives with a passing grade.

12. Research, Scholarship, and Publication. NWC meets its research responsibilities through both institutional efforts conducted by NWC research organizations, as well as through the studies conducted by individual faculty members. Professors must create new ideas as well as teach established knowledge. By doing so, they best serve their students, their profession, and their nation. Accordingly, the NWC expects all civilian faculty members to engage in professional research and exhibit a sustained commitment to scholarship. It expects most of them to publish at least some of the results of their research. NWC administrators may have less opportunity for research, scholarship, and publication, but are not alleviated from this responsibility. Military faculty members are not expected to publish, but are encouraged to do so in their areas of expertise. Faculty members may research, write, and publish in their official or personal capacity. Whether their research is official or personal will depend on a combination of factors, to include the use of government time and resources, and whether the work is a result of an NWC tasking or intended to be part of curriculum development. Faculty members should consult with their respective Chairs, Directors, or Deans and the SJA prior to beginning a research and writing project, in order to obtain the necessary information to fully understand the distinction between personal and official work, and to review the project for legal compliance. This is not intended to impose College oversight over the substance of any writings; rather, it is solely to ensure the faculty member procedurally complies with U.S. Government regulations and federal laws. Faculty members are reminded to include a disclaimer indicating that their own personal views are not necessarily shared by the NWC, the Navy, or DoD. In accordance with DoD Directive 5230.9, “Clearance of Information for Public Release,” there are some instances when the faculty member must undergo a security and policy review. As a matter of professional courtesy if working on controversial or highly visible issues, faculty members should keep the appropriate Chair/Director, Dean, Provost, and PNWC informed so that the institution can better support these efforts.

a. Research Organizations.

(1) Center for Naval Warfare Studies. The Center for Naval Warfare Studies (CNWS) is the principal research, analysis, and analytic war gaming organization within the NWC. CNWS supports defining the future Navy and its associated roles and missions through focused, forward-thinking, and timely applied research. CNWS anticipates operational and strategic challenges, develops and assess strategic and operational concepts to overcome those challenges, provides analytical products that inform Navy leadership and help shape key decisions, and contributes to the public discourse on U.S. national security. CNWS, supervised by a Dean, consists of five organizations: the Strategic and Operational Research Department, the War Gaming Department,

the Stockton Center for International Law, the Naval War College Press and the Office of Naval Intelligence (ONI) Detachment Newport.

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

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

The department oversees the Advanced Research Programs (Halsey Alpha, Halsey Bravo, and Holloway), the China Maritime Studies Institute (CMSI), the Russia Maritime Studies Institute (RMSI), the Deterrence Center, and the ADM James R. Hogg Cyber and Innovation Policy Institute (CIPI). Their missions are to research, evaluate, and provide analysis in their related fields using a broad range of classified and unclassified sources through application of a variety of research methodologies. These groups also conduct outreach and maintain professional relationships with national security scholars and professionals.

(3) War Gaming Department. The War Gaming Department (WGD) conducts high quality research, analysis, and gaming, to support the NWC mission, prepare future leaders, and help shape key decisions on the future of the U.S. Navy. The WGD strives to provide interested parties with intellectually honest analysis of complex problems using a wide range of research tools and analytical methodologies. The WGD conducts CNO-Directed War Games in coordination with Fleet, Component, and Combatant Commanders. WGD is responsible for the design, development, execution, and analysis of these analytical war games. WGD partners with analytic partners throughout the DoD to incorporate the findings of intelligence, studies, exercises, experiments, test and evaluation, and modeling and simulation in war games. WGD also supports the incorporation of lessons and insights from war games into the NWC curriculum.

(4) The Naval War College Press. The Naval War College Press. The US Naval War College Press publishes and disseminates research and analysis for Naval and Maritime leaders. By publishing works that contribute to a better understanding of joint warfare from a maritime perspective, the NWC Press supports the Naval War College mission by educating security professionals. The Naval War College Press publishes the *Naval War College Review* (the professional quarterly journal of the Naval War College), the various monograph series (such as the Newport Papers), and selected books, both in print and electronically.

(5) The Stockton Center for International Law. The Stockton Center for International Law (SCIL) is an internationally recognized research institute for the study of international law and military operations that produces original analysis for national decision-makers, senior military leaders, scholars and legal practitioners throughout the world in order to better grasp the role of international law in naval, Joint, and Combined operations.

SCIL serves as the Primary Review Authority for Naval Warfare Publication 1-14M, the Commander's Handbook on the Law of Naval Operations, and regularly reviews and contributes to other influential publications worldwide.

Annually, SCIL hosts legal research workshops on emergent issues drawing many of the world's leading international law experts, including the Alexander C. Cushing International Law Conference. Its faculty teach in the core and elective curriculum at NWC, at partner nation defense colleges, and at other institutions and universities, both U.S. and abroad.

The Stockton Center publishes *International Law Studies*, a professionally edited and peer-reviewed journal. First published in 1895, it is the oldest international law periodical in the United States. The journal publishes articles and analysis from the world's leading experts and practitioners in the law of the sea, the law of armed conflict and international humanitarian law, the law of naval operations, and the international law of conflict in the airspace, outer space, and cyberspace.

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

(7) John B. Hattendorf Center for Maritime Historical Research. The John B. Hattendorf Center for Maritime Historical Research (HHC), under the supervision of the Associate Provost for Research, manages naval and maritime history and sea service heritage programs at the College. The Center also serves as a resource and contact point for the Naval War College in matters relating to research in maritime history and heritage. The Center is led by the Senior Historian. The Senior Historian leads the center, acts as a project and program coordinator, and guides faculty in support of the HHC's mission. The Senior Historian also serves as the conduit for direction from College's leadership on matters relating to mission, special projects, workload, etc.

Since its founding in 1884, the mission of the Naval War College has been to educate and to develop future leaders by building strategic insight and enhancing their capacity to advise senior policymakers. From the beginning, the critical study of naval history in all its forms has been an important part of this. The HHC supports this through the conduct of research and writing on all matters relating to naval and maritime history. In addition to supporting the curriculum at the College through research, HHC faculty also contribute by teaching a variety of classes that support the curriculum including a Graduate Certificate in Maritime History.

(8) Center For Irregular Warfare and Armed Groups. The Center on Irregular Warfare and Armed Groups (CIWAG) is dedicated to the interdisciplinary study of the challenges presented by irregular warfare (IW) and non-state actors, also known as armed groups, in the 21st Century. Historically referred to as "insurgency," "terrorism," and "counterterrorism," irregular warfare seeks asymmetrical combat approaches in order to erode an adversary's power, influence, and will to fight. CIWAG research studies the history and tactics of global armed groups in the hopes of meeting the complex challenges these groups present, while aiding the work of operators, practitioners, and scholars of irregular warfare. CIWAG also conducts education on irregular warfare issues for military officers and their interagency counterparts. The center produces newsletters, podcasts, case studies, and educational guides.

Additionally, CIWAG facilitates interaction and collaboration between professional military educational institutions, civilian academics and battlefield practitioners. Primary CIWAG goals include:

- (a) To promote and support comprehensive research and teaching on irregular warfare and armed groups.
- (b) To disseminate cutting-edge analysis via symposia and workshops, to provide a forum for dialogue between U.S. and international practitioners and scholars.
- (c) To facilitate interaction and collaboration between professional military educational institutions, civilian academics, and battlefield operators.
- (d) To expand outreach and networking activities to establish and sustain a “community of interest” devoted to the study and teaching of irregular warfare and armed groups.

13. Awards for Achievement. Faculty members may receive various forms of official recognition of outstanding achievement. Some awards are monetary. Others are honorary. The goal of the Department of the Navy Incentive Awards Program is to encourage and recognize personnel for significant contributions to mission accomplishment. The NWC Awards Program is intended to motivate employees to maximize productivity and creativity by rewarding individuals and employee groups. Reward recipients will be employees whose performance and contribution to mission effectiveness are substantially above normal position requirements. Incentive awards can be honorary, monetary, time-off, or informal recognition related to special act or service, suggestions, inventions, superior accomplishments, or demonstrated sustained high-quality performance as evidenced by achievements significantly above expectations for the job or occupation. (See NAVWARCOLINST 12451.2 (series) “NWC Civilian Awards Program”) The various awards include:

- a. Performance Awards.** Civilian faculty members may be considered for individual monetary awards as a result of their annual faculty performance appraisal ratings. In order to be eligible for a cash performance award, the faculty member must have been in the covered position for a minimum of one year. Final determination of awards is made by the Provost following recommendations submitted by Chairs, Directors, or Deans and/or evaluation by a Performance Appraisal Review Board.
- b. Incentive Awards.** All DoD civilian employees are eligible to be considered for incentive awards. Incentive awards, honorary and/or monetary, may be used to recognize group or individual effort that goes significantly beyond expected job performance or involves an exemplary accomplishment, unusual academic distinction, or an act of heroism. The award may be for accomplishment or contribution within, beyond, or outside normal job responsibilities. These include quality step increases (QSI) and Faculty Merit Increase awards, further described in the NAVWARCOLINST 12451.2 (series).
- c. Time-Off Awards.** All federal employees are eligible for time off from duty as an incentive award. Such time off is referred to as a “time-off award” and may be granted, without loss of pay or change to leave, in recognition of superior accomplishment or other extraordinary personal effort that contributes to the quality, efficiency, or economy of government operations above and beyond the normal satisfactory performance of duties.
- d. Military Awards.** Military personnel are eligible for recognition on the basis of outstanding performance or service in accordance with the standard Navy Awards Program or their individual Service criteria and procedures. Recommendations are submitted via the chain of command.
- e. Civilian Awards.** Civilian personnel are eligible for recognition on the basis of outstanding performance or service in accordance with DoD/Department of the Navy (DON) guidelines for meritorious achievement by civilians.
- f. Faculty Awards for Excellence in Teaching, Research, and Service.** NWC civilian faculty awards for excellence and sustained contributions in teaching, research, and service will be presented annually. Each award will consist of a suitable certificate, recognition in a permanent display, and a one-step increase in salary. All non-supervisory, full-time NWC civilian faculty members are eligible. A faculty member who has received a given award is not eligible for consideration for that award again for five years. The faculty awards for teaching, research, and service are peer-nominated by non-supervisory civilian and military full-time faculty. Self-nominations are not accepted. The Faculty Awards

Committee will make recommendations accompanied by a written report to the Provost for decision by the PNWC. Detailed guidance is in NAVWARCOLINST 12451.2 (series), “NWC Civilian Awards Program.” The awards instruction identifies eligibility, qualifications, selection procedures and committee recommendations to the Office of the Provost for consideration and award.

g. Military Faculty Awards for Excellence in Teaching, Research, and Service. NWC military faculty awards for excellence and sustained contributions in teaching, research, and service will be presented annually for contributions over the past two years. All military faculty in their second or further academic year of service to the NWC are eligible for nomination. Each award will consist of a suitable certificate and recognition in a permanent display. All non-supervisory, full-time NWC military faculty members are eligible, except those that have received the award in the past five years. All three awards are peer-nominated by non-supervisory full-time faculty. Self-nominations will not be accepted. The military faculty awards committee will be co-chaired by a NWC Dean and a Senior Service Advisor and consist of five (5) additional members representing military and civilian faculty. The Co-Chairs will make recommendations to the Provost for decision by the PNWC.

(1) The Naval War College Weschler Award for Inspirational Teaching will be presented annually to military faculty member of the NWC for excellence over the preceding two (2) academic years.

The Weschler Award for Inspirational Teaching, named for former NWC Faculty member and Department Head VADM T.R. Weschler, recognizes a uniformed NWC professor who possesses a unique combination of superior professional competence, creative imagination and unbridled enthusiasm.

The award is given annually to that uniformed member of the teaching faculty who distinguishes him or herself by recognizing and creating the conditions necessary for creative and innovative thought by his or her students. Students are made aware of the power and utility of relevant theoretical frameworks, principles of war, history, and ideas, are encouraged to discover the lessons learned and to apply their insights to new problems and scenarios. Students are provided the time, the space, the tools, the guidance and the encouragement to do the hard work and to bear the burden of arguing innovative hypotheses, proposals and plans.

There is no one measure of inspirational teaching, but its presence is unmistakable in both quantity and quality. Student interest, enthusiasm, motivation, imagination, innovation and production, and the number of students so affected, are all credible signs of inspirational teaching. Such enthusiasm, too, is known and recognized by professors, administrators, and other colleagues of this professor.

(2) The Naval War College Military Faculty Research Excellence Award will be presented annually to military faculty member of the College for excellence over the preceding two (2) academic years. Research is broadly defined as the creation of new knowledge. At the NWC, research includes traditional forms of qualitative and quantitative scholarship; development of knowledge through the planning, execution, and reporting of war games and operations research; contributing to crafting doctrine, policy, or strategy directed by or supporting the DON or DoD. Research typically results in publication (academic, doctrinal, government reports, etc.) and/or presentations (conference papers, government venues, etc.) and related professional development activities. Research may include participation in professional collaboration that leads to measurable outcomes serving the NWC missions, functions, and tasks.

(3) The Naval War College Military Faculty Service Excellence Award will be presented annually to military faculty member of the College for excellence in service over the preceding two academic years. For this award service is broadly defined as applicable to the NWC mission and includes assisting the College, the Navy, DoD or professional community. At NWC, service may include contributions to one’s academic or professional community, such as outreach and engagement with professional societies; serving on committees at the NWC; and services rendered to the Navy or DoD. Evaluation of faculty service also considers the candidate’s demonstrated ability to work

effectively with others in advancing NWC’s mission beyond contributions directly associated with education and research.

14. Ethical and Legal Standards.

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

(1) General Responsibilities

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

(b) Teaching. A faculty member encourages the pursuit of learning in students and, like them, upholds high professional standards. Respecting students as individuals, the faculty member serves as their intellectual guide and counselor and seeks to establish with them a relationship of trust. The faculty member makes every effort to foster ethical conduct and to ensure that the evaluation of students’ academic performance reflects their true achievement in the field of study. A faculty member also protects the academic freedom of students and serves as an example of this principle by ensuring that they are free to voice opinions openly and to exchange ideas without interference, consistent with the requirements to protect and safeguard classified information and in keeping with the Chatham House Rule outlined in paragraph 7, Other Academic Policies below. The faculty member shall also ensure that students recognize that responsibility comes with academic freedom.

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

(2) Individual Responsibility. In addition to general ethical standards of the academic profession, there are specific responsibilities entrusted to faculty members who accept positions at the NWC as government employees:

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

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

- (c) A faculty member will plan and regulate class time with an awareness of its value for every student, and will meet with classes as dictated by the schedule.
- (d) Faculty members will ensure liberal availability to students based on the requirements of the academic calendar.
- (e) Even as a faculty member promotes academic freedom by striving to develop among students respect for others and their opinions, they will seek to protect students from irrelevant and trivial interruptions or diversions.
- (f) Faculty members will also strive to protect freedom of inquiry and expression among faculty colleagues.
- (g) Ad hominem attacks on professional colleagues, gossip, and indiscriminate criticism are inappropriate.
- (h) Necessary critiques of the College or individuals should be reasoned, informed, and directed whenever possible through appropriate administrative channels.
- (i) Each faculty member shall accept responsibility for the shared governance to help the NWC function smoothly as a vigorous institution. That obligation includes serving on committees, accepting an equitable burden of administrative duties, and working cooperatively with the College's leadership to further all its goals.
- (j) While in the classroom and while lecturing, faculty will refrain from using profanity, coarse language, and inappropriate humor.

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

- (a) "Teachers are entitled to full freedom in research and in the publication of results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution."
- (b) "Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment."
- (c) "College and university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, exercise appropriate restraint, show respect for the opinions of others, and make every effort to indicate that they are not speaking for the institution."

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

(5) Grievance Procedures. A general overview of grievance procedures is contained in Chapter IV, section 14l. There are also appeals processes related to specific academic decisions, such as non-

reappointment of a civilian faculty member who has completed more than six years of continuous service, discussed earlier in this chapter. Additional information can be found on the NWC Human Resources intranet page.

(6) Standards of Conduct. All U.S. Government employees must follow the ethical standards of conduct for all executive branch employees, which are largely found in Title 5 of the U.S. Code and Title 5 of the Code of Federal Regulations. All DoD personnel must also adhere to the amplifying guidance found in the Joint Ethics Regulation (JER) (DoD 5500.7-R) and other authority. Naval personnel, including civilians, shall not directly or indirectly use, take, dispose of, or allow the use, taking, or disposing of government manpower, property, facilities, or information of any kind, including property leased to the government, for other than official government business or purpose. An individual utilizing any government resources for private interests is violating the ethical standards of conduct in the Joint Ethics Regulation. Personnel who have reason to believe that the rules of conduct have been violated must report the matter to either their immediate supervisor or the Staff Judge Advocate (SJA). If faculty members have questions regarding an action, activity, or behavior that might involve the ethical standards of conduct in the Joint Ethics Regulation, they shall seek guidance from the SJA as soon as practicable prior to taking the action or engaging in the behavior.

b. Use of Government Resources and Personnel. Personal work may not utilize NWC personnel or resources, nor can the work be performed on official time. In contrast, official work may properly use NWC resources, personnel, and time. 5 CFR §2635 provides authoritative guidance. Official work does not include outside employment, such as adjunct faculty coursework and teaching. The DoD Ethics Counselor's Notebook has additional background and guidance on the subject. (https://dodsoco.ogc.osd.mil/Portals/102/government_resources.pdf) Faculty should consult the NWC JAG if in doubt about appropriate use of government resources and personnel.

c. Copyright Policy. The College recognizes that its faculty operate in an environment that is different from that of their colleagues in civilian public and private colleges and universities who are not U.S. Government employees. In the absence of DOD or SECNAV implementation guidance, USNWC interprets copyright law in accordance with 17 U.S.C 105.

Under 17 U.S.C 105. in general—copyright protection is not available for any work of the United States Government, but the United States Government is not precluded from receiving and holding copyrights transferred to it by assignment, bequest, or otherwise.

(1) Copyright Protection of Certain Works.—Subject to subsection (2), the covered author of a covered work owns the copyright to that covered work.

(2) Use by Federal Government.

(a) Secretary of Defense authority.—With respect to a covered author who produces a covered work in the course of employment at a covered institution described in subparagraphs (A) through (L) of subsection (d)(2), the Secretary of Defense may direct the covered author to provide the Federal Government with an irrevocable, royalty-free, worldwide, nonexclusive license to reproduce, distribute, perform, or display such covered work for purposes of the United States Government.

(b) Director of National Intelligence Authority.—With respect to a covered author who produces a covered work in the course of employment at the covered institution described in subsection b(3)(b), the Director of National Intelligence may direct the covered author to provide the Federal Government with an irrevocable, royalty-free, world-wide, nonexclusive license to reproduce, distribute, perform, or display such covered work for purposes of the United States Government.

(3) Definitions.—In this section:

(a) The term “covered author” means a civilian member of the faculty of a covered institution.

(b) The term “covered institution” means the following:

1 National Defense University.

2 United States Military Academy.

3 Army War College.

4 United States Army Command and General Staff College.

5 United States Naval Academy.

6 Naval War College.

7 Naval Post Graduate School.

8 Marine Corps University.

9 United States Air Force Academy.

10 Air University.

11 Defense Language Institute.

12 United States Coast Guard Academy.

13 United States Merchant Marine Academy.

14 National Intelligence University.

(c) The term “covered Secretary” means—

1 the Secretary of Transportation, with respect to the United States Merchant Marine Academy;

2 the Secretary of Homeland Security, with respect to the United States Coast Guard Academy; or

3 the Secretary of Defense, with respect to any other covered institution under paragraph (3)(b).

(d) The term “covered work” means a literary work produced by a covered author in the course of employment at a covered institution for publication by a scholarly press or journal.

(4) Copyright Infringement: Copyright infringement occurs when a user of a work takes advantage of one of the rights granted to creators under the law without their authorization (reproduction, derivative works, distribution, and public display or performance) and their use is not covered by a limitation codified in U.S. Copyright Law. Beyond text and film, infringement can also include the use of copyright protected works such as images or scholarly tables, charts, or graphs.

(a) While plagiarism is the breaking of an ethical code and can lead to discipline from an academic institution, copyright infringement is the breaking of federal law and can lead to an expensive trial with costly fines. It is possible to commit plagiarism without committing copyright infringement and vice versa.

(b) All NWC students, military personnel and government employees including contractors must adhere to the NWC Copyright Policy.

When there is a question whether a faculty member's work product is *personal work* or *official work*, the College expects its faculty members to consult with their respective Chairs, Directors, or Deans as appropriate *and* the College's SJA prior to beginning a scholarly work to determine the nature of that work (i.e., *personal* or *official*) and to ensure that the faculty member is not vulnerable to violation of U.S. law and the Joint Ethics Regulation. Concerns about personal versus official copyright should not preclude faculty members from conducting research, scholarship, and publication. Any concerns in this regard should be directed to the member's Chair, Director or Dean.

d. Security and Policy Review. DoD civilian personnel may write and sign articles for publication, as outlined in DoD Instruction 5230 series "Clearance of DOD Information for Public Release," and NAVWARCOLINST 5510 series "Pre-Publication Information Security Review Process." The main points of these directives are as follows:

(1) If information proposed for publication or public release falls within certain security guidelines specified in the directive that concerns or affects the plans, policies, programs, or operations of the DoD or the U.S. Government, and that is prepared by DoD personnel in either an official or a private capacity, shall be submitted to the Assistant Secretary of Defense (Public Affairs), Attention: Defense Office of Prepublication and Security Review (DOPSR), for review and clearance prior to disclosure. Material submitted in compliance with the requirements of the DOD Instruction 5230 series will be cleared for public release only after it has been reviewed and necessary amendments have been made to ensure that it does not compromise classified national-security information. Material submitted for review must not contain information known by the author or the office of origin to be classified. Review by DOPSR is to ensure that the material does not contain classified information.

(2) In addition to the overarching OPSEC policy guidance and requirements to safeguard certain information including CUI and classified information, all NWC faculty shall follow the NWC "Pre-Publication Information Security Review Process for Faculty Research," NAVWARCOLINST 5510 series, for any scholarly work to be published in the public domain.

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

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

e. Disclaimers. Absent specific approval from appropriate higher NWC authority, faculty members who identify their official NWC positions in any verbal or written statement intended for accessibility by individuals outside NWC must include a statement that expressly states that the views presented are those of the speaker or author and do not necessarily represent the views of DoD or its components. Where a disclaimer is required for an article, book, or other writing, it shall be printed in a reasonably prominent position in the writing itself. Where a disclaimer is required for a speech or other oral presentation, the disclaimer may be given orally provided it is given at the beginning of the oral presentation.

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

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

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

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

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

h. Departmental Publishing Priorities. There is variation from department to department in the emphasis placed on the importance of scholarly publication. The S&P Department and the NSA Department put high priority on scholarly publication by civilian faculty members. CDE, CMOW, and the JMO Department, most of whose civilian faculty members are retired military officers, put less priority on scholarly publication and higher priority on doctrine publication and currency. IP puts a high priority on the delivery of education but also encourages scholarly publication. Civilian faculty members in departments or divisions of CNWS engage in research and analysis that often is not suitable for publication in open professional literature.

i. Naval War College Foundation. The Naval War College Foundation is an independent, non-governmental corporate organization constituted for charitable educational purposes, specifically to solicit, receive, administer, and donate funds and property for the encouragement, support, and furtherance of traditions of the NWC and its capabilities to carry out its mission, and for the improvement and beautification of the NWC physical facilities in areas where federal funds are not available. Legally a separate entity, the Foundation is neither controlled nor operated by the DoD or the NWC. The Foundation supports a variety of programs designed to enrich the academic experience for both the student body and the faculty. These programs, which involve both direct and indirect support, help increase public awareness of the NWC, support faculty research and other special projects, recognize special student accomplishments at graduation, promote special lectures and conferences, and acquire naval artifacts and other archival material to expand the research resources of the College library and museum. All requests for NWCF support must be submitted via the chain of command to the Provost. In no case may faculty members approach the NWCF directly to solicit support.

(1) Gifts from the NWCF. Each year, the NWCF offers a significant amount of monetary and in-kind support to the College. This offer is normally considered an offer of a future gift for the new Calendar year and therefore forwarded to the Secretary of the Navy for acknowledgment. Recognizing the need to learn about the future needs of the NWC, the NWCF typically makes a formal request to the NWC on an annual basis which seeks information about needs of the College which would directly benefit from NWCF financial support. At its sole discretion, it may also choose to submit such formal requests more frequently. When the NWCF makes such a formal request in writing, the College may properly provide such information without running afoul of ethical rules prohibiting NWC solicitation of support from any non-Federal entity. Absent a formal request from the NWCF, however, the NWC may not directly ask the NWCF for any support.

(a) NWC Official Communications with the NWCF. Communication between the NWC and the NWCF must be strictly controlled to ensure the NWCF recognizes when the College is formally apprising the NWCF of a College need. Only the President or the Provost may act on behalf of the NWC to officially identify a College need to the NWCF. The NWC Gift Funds Manager is designated as the formal NWC liaison with the NWCF. As such NWC Gift Funds Manager serves as the President's/Provost's representative for all issues involving the NWCF, including communications involving College needs. No other individual shall officially represent the College's official position to the NWCF unless specifically designated by the President or Provost. Informal communications with the NWCF that do not include requests for funds, i.e. informing the NWCF about your programs, is strongly encouraged.

(b) Unsolicited NWCF Communications to NWC Personnel. NWC personnel, particularly faculty, may occasionally receive unsolicited requests from the NWCF requesting support for outreach briefs, administration of grants, and other issues. NWC personnel may listen to the request, express personal support or opposition to the proposal, but must inform the NWCF that they will forward the NWCF request to the Provost via the NWC Gift Funds Manager for formal College response. NWC personnel shall not respond in a manner which implies they formally represent the College, nor seek additional support beyond the scope of the unsolicited offer initially made by the NWCF.

j. Human Research Protection Program (HRPP). Research conducted by NWC faculty and staff members involving human subjects must be reviewed and approved under the NWC HRPP. Human subjects are defined as living individuals about whom a researcher obtains data through interaction with the individuals, or through records containing identifiable private information (e.g., a medical record or student transcript). The HRPP's formal procedures ensure any necessary protections of personal privacy are properly identified and implemented. The DON HRPP oversees all training and education related to this program. For additional information, see also covered in NAVWARCOLINST 3900.39 series.

(1) Institutional Review Board. The Institutional Review Board (IRB) reviews, monitors, and makes recommendations for research involving human subjects in order to protect the rights of the human subjects. The Human Resource Protection Program (HRPP) POC oversees the overall program at NWC. Because of the paucity of human subjects research conducted at NWC, the College uses the Naval Postgraduate School's IRB and IRB process.

(2) NWC IRB Process:

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

(b) NWC personnel seeking to perform human research (including research to be conducted outside the confines of NWC), and any individual who seeks to collect personal information from NWC personnel for a human research project, must complete the required CITI IRB online training and contact the HRPP POC prior to initiating such research. The researcher (aka. Principal Investigator or PI) will provide the necessary documentation about the proposed research project to the HRPP POC who will review and direct modifications, if necessary, to

ensure protection of human subjects. The requestor shall also prepare a staff-routing package for Provost input, staffed through the HRPP Committee and other potential NWC stakeholders. SJA will also perform a legal review. The Provost forwards the proposed research project to the NPS IRB Committee, which reviews and directs modifications if necessary to ensure protection of human subjects' personal privacy. Upon receipt of the NPS IRB's favorable findings, the Provost will approve the project for a period up to twelve months. If the research lasts longer, the PI must complete a continuing review and again seek formal IRB and approval.

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

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

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

k. Equal Employment Opportunity. Consistent with the DoN's Equal Employment Opportunity (EEO) objectives, it is the policy of the NWC to offer all persons equal opportunity for employment, advancement, in accordance with the DON's policy "regardless of their race, religion, color, sex (including pregnancy, gender identity, and sexual orientation), national origin, age, genetic information (including family medical history), or disability." The NWC seeks to achieve a fully integrated civilian workforce and ensure an environment free from discrimination or sexual harassment. Faculty members, and particularly those in leadership positions, are key to an effective program. Active participation in meeting established EEO goals and objectives will ensure that the NWC achieves a balanced workforce.

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

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

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

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

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

The policy of the DoD and the DoN prohibits all forms of discrimination that are unlawful under applicable local, state, and federal laws, and as stated in the DoN categories stated in paragraph k previously. Section 703, Title 7 of the Civil Rights Act of 1964, found at 42 U.S. Code 2000e,

prohibits sexual harassment in the workplace. Of particular concern is the opportunity for sexual harassment or misconduct based on the hierarchical and subordinate structure inherent in any educational or military institution. Questions regarding Equal Employment Opportunity can be addressed to the Equal Employment Opportunity Specialist at (571) 438-3982.

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

(1) Civilian faculty members, like all civilian employees of the NWC, are protected by federal-service rules and regulations, including SECNAVINST 12771.2 DON Administrative Grievance System. It is the policy of the College to consider and resolve matters of concern and dissatisfaction to faculty and staff at the lowest possible organizational level. Open, frank, and honest exchanges of information among the parties concerned are strongly encouraged. When informal solutions are insufficient, grievances may be reported through the individual's chain of command. If an individual perceives that a valid reason exists for not first taking a grievance to the immediate supervisor, the individual may communicate with, and seek advice from, the Human Resources Office. Employees are encouraged to participate in alternate dispute resolution.

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

m. Fraternalization. Students, faculty, and staff will often establish strong personal relationships with each other. It remains imperative that such relationships respect differences in pay grade and position between individuals to safeguard an environment free of actual or perceived professional bias, conflict of interest, and/or preferential treatment. Romantic relationships between members of NWC in unequal positions of power or authority can undermine the commitment to providing a safe, equitable, and professional work environment and can raise significant administrative, ethical, and legal risks. OPNAVINST 5370.2 (series) outlines DON policy on fraternization.

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

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

(2) Relationships among Faculty and Staff. No faculty or staff member shall enter into a sexual or romantic relationship with another faculty or staff member over whom they have direct authority. If such a situation preexists or arises, it will not be considered a violation of this handbook if the party in the position of greater authority promptly recuses themselves from any role with Direct Authority over the other party, and discloses the relationship to their Chair, Dean, other appropriate supervisor. If the supervisory individual or individuals to whom the disclosure is made determine that a simple recusal will eliminate the conflict of interest (e.g., recusing oneself from a single tenure committee decision), no further action is required.

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

reasonably creates an actual or apparent professional bias or preferential treatment relating to academic matters with the student.

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

o. Drug-Free Workplace Program. The SECNAV's policy and objective are to provide a workplace free from illegal drug use. A DoN Drug-Free Workplace Program (DFWP) has been established for the purpose of achieving this goal. One feature of the DFWP is the designation of test-designated positions (TDPs). All NWC positions requiring TOP SECRET clearance have been designated TDPs. Applicants for such positions shall be administered drug-screening tests as part of the pre-employment process. Results may be positive with a satisfactory explanation such as a prescription. Testing positive for illegal drugs may be grounds for disciplinary action up to and including termination/removal from federal service.

p. Access to and Maintenance of Faculty Employee Records. The NWC complies with the Department of the Navy Privacy Act Program and provides safeguards for all employees against an invasion of personal privacy, except as exempted by law. Personnel at all levels of authority within the NWC should ensure that personal data are only acquired, maintained, or disclosed in accordance with provisions of NAVWARCOLINST 5211.12 (series) and that, upon request, each individual is eligible to have access to, and/or be given the opportunity to amend, their own record. A list of NWC record-system managers is contained in NAVWARCOLINST 5211.12 (series). The SJA is the NWC Privacy Act coordinator and point of contact for administration of the Privacy Act Program within the College.

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Chapter V

Academic Services and Policy

1. Academic Services

a. Naval War College Library. The Naval War College Library supports the research and the educational mission of the college through its extensive resources and services offered both online and within the Learning Commons located in Hewitt Hall. Notably, 80% of the library's extensive collection is available online, providing accessibility from anywhere, at any time. The Library serves not only the resident college community and distance education students but also visiting scholars, dignitaries, and the broader academic and military communities. Beyond these services, librarians play a crucial role as educators in information literacy, assisting students, faculty, and staff in learning how to utilize various search and indexing systems effectively, as well as analyzing and determining the relevance of information.

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

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

b. The Writing Center and Teaching Excellence Center. These centers provide services and resources to NWC students and faculty. The Writing Center helps students evolve as writers by working with them to write for the appropriate audience, refine a thesis statement, articulate an argument, understand how to integrate evidence into a paper, use appropriate structure to clarify the focus of papers, develop revision strategies, and know when and how to cite sources. The Center can also assist with strategies for reading more effectively and efficiently. Center staff works with students in one-on-one conferences and small group workshops. The Teaching Excellence Center provides faculty development on teaching, including topics such as: course design, instructional strategies, feedback and grading, technology in the classroom, and opportunities to explore the Scholarship of Teaching and Learning. The Center holds workshops, offers opportunities for faculty from multiple departments to share expertise and teaching methods, meets one-on-one with interested faculty, curates resources, and is available to observe faculty in the classroom.

c. Naval War College Museum. This national historic landmark, located in Founders Hall, is a museum of the history of naval warfare that collects, preserves, and interprets historical properties that illustrate (1) key concepts in the evolution of maritime strategy and naval operations from antiquity to the present; (2) the history of naval activity in the Narragansett Bay region from the colonial period to the present; and (3) the institutional history of the NWC since 1884. The museum is operated cooperatively by the NWC and the Naval History and Heritage Command through a memorandum of agreement. The museum serves educational purposes for faculty, staff, and students attending the NWC and other local commands as well as the general public.

d. Naval War College Archives and Special Collections. The NWC Archives is dedicated to collecting, preserving, and providing access to unique primary sources that hold cultural, documentary,

or historical significance to NWC for education, research, and outreach. The NWC archival collection encompasses a diverse array of materials, including records, manuscripts, rare books, oral histories, and other special collections. NWC Archivists assist students and faculty with their research goals, regardless of the specific field of study, offering guidance and support in accessing and utilizing primary sources effectively.

The NWC archival collection offers documentary evidence pertaining to professional military education, particularly in naval warfare and strategy as studied at NWC. The archives chronicle the institutional history of NWC including its curriculum, research and war gaming activities, educational programs, conferences and symposia, as well as original works of its founders, alumni, faculty, students, and staff. Moreover, the NWC Archives provides primary sources that shed light on the naval history of Narragansett Bay, documenting the activities, commands, and vessels associated with Naval Station Newport, naval activities before NWC's establishment, and other significant naval commands operating within the local region. In addition to its role in preserving historical records, the Archives actively supports the educational mission of the College by collecting unique resources with a direct link to NWC curriculum as an assigned reading or investigation in a current or scheduled course/program.

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

f. Audiovisual Support. Audiovisual (AV) support is available 0800–1600, Monday through Friday, excluding holidays. Available services include equipment loans; instruction on equipment use; operator support in auditoriums, classrooms, and briefing rooms; television presentations via VBrick; distribution of satellite programs; and videotaping of official events. Standard infrastructure for AV equipment is maintained in each classroom, auditorium, conference room, and seminar room. Special requests for additional services, such as special equipment setups and video recording, may be arranged by telephone (401-856-6360) or via e-mail request at NWC-AV@usnwc.edu. Requests should be received at least forty-eight hours prior to the scheduled event. Events are recorded, stored and streamed via Panopto. Events stored on Panopto are stored indefinitely and are available upon request (attribution permission pending). Video projectors and screens are available for loan to students, faculty, and staff to support the core curriculum. Audio recordings of past lectures are available on audiocassettes and audio CDs and are kept in the NWC Classified Library and are available for checkout to students although they remain subject to the CHR.

g. Graphics Department. The Graphics Department is located in Pringle Hall, P-348; 401-856-5180. It supports the College and associated missions by providing visual design solutions that convey a clear message. Mission support ranges from name tags and plaques, diplomas and awards, maps and charts, signage and displays, to support of workshops, conferences, and training events at the CNO-level. Graphics maintains the standards for use of NWC logo, wordmarks, fonts, colors, etc., to preserve an easily recognizable and consistent look of the NWC. Graphics also provides engraving support, which can be requested via the NWC intranet.

2. Academic Sessions and Formal College Events.

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

Faculty enjoy the privilege of managing their schedules to maximize productivity. Faculty also have the responsibility of ensuring that they are available to students, colleagues, and College administration. In recognition that faculty incur obligations as federal employees, the following guidelines are promulgated to normalize faculty routines while meeting DoD employment instructions. First and foremost, all teaching faculty must prioritize their teaching responsibilities and ensure they diligently fulfill their obligation to students. When free from teaching obligations or other official responsibilities, the College encourages faculty to work where they can be most productive for lesson preparation, professional research/development, and engagement in professional settings. Appropriate work locations include the office, a home workspace, or other appropriate workspace in a local area as defined by the respective Dean or Department Chair based on mission requirements, but in no case more than eight hours from the College.* Subject to approved MOUs and telework/remote work agreements, faculty are expected to be physically on campus at least twice per pay period, unless they are on approved leave or travel.

*Note: The “tether” to NWC is designed to permit faculty to work in Washington, DC but still return by the following day if recalled.

b. Working Hours. Normal working hours for NWC administrators and staff are from 0730 to 1600 or 0800 to 1630 or as determined by the appropriate supervisor. Although faculty members work periods of comparable duration of eighty hours per pay period, they are not necessarily within a set schedule. Faculty members are available by appointment and at established class times but otherwise are not held to hourly schedules. Duty hours are addressed in NAVWARCOLINST 12600.2 series.

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

c. Academic Calendar. The Academic Planning Calendar is published each year and contains a list of key dates for each trimester, including the dates of symposia and forums and recess periods/holidays. A monthly calendar is also published for each course syllabus detailing specific time blocks for lectures, seminars, and exercises pertinent to its course of study. These publications are complemented by a weekly schedule and a web-based calendar.

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

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

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

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

f. Issues in National Security Lecture Series. This series is designed to offer scholarly lectures to student spouses and significant others, military/civilian NWC and Naval Station Newport employees and tenant personnel, international sponsors, NWC Foundation members, and local-area retirees and active/reserve personnel. The lectures are offered to provide intellectual stimulation to participants and no formal academic credit is awarded. Those who attend at least 70% of the lectures will be awarded a certificate of completion.

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

3. Telework. Per DoD Instruction 1035.01, SECNAV Instruction 12271.1, and NAVWARCOLINST 1035.1 series, any federal employee who works at an alternate work site (e.g. home office) must have an approved telework agreement in place (DD Form 2946). This applies to employees who (1) telework from time to time but not on a set schedule (situational telework), (2) telework on scheduled, specific days with at least two days out of the pay period at the official work site (regular and recurring telework), or (3) work remotely at an approved location where the eligible employee's official work site is located at a location other than the Naval War College (NWC) official work site permanently and/or for an indefinite period of time. An employee's locality pay (BAH for military members) will be based on the locality pay rate for the area of their remote work location. Telework is not a substitute for dependent care. Telework is a privilege and not a right; therefore, not every faculty member or position may be eligible for telework. Supervisors should consult with the NWC's telework coordinator in Human Resources for guidance on determining telework eligibility. Prior to approving any telework request for full-time (i.e. remote) telework, the supervisor must first obtain approval from the Provost, via their supervisor and their respective Dean.

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

An approved situational telework agreement is not a blanket authorization to telework; therefore, the faculty member must request approval to telework every time he or she wants to telework. In cases where the NWC is closed (e.g. inclement weather), a faculty member who has an approved telework agreement is presumed to be "telework ready" and is expected to work (taking into consideration safety, snow removal, power outages, etc.).

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

Those employees who plan to telework outside of the local area (e.g. during period of professional development) should be aware that their assigned place of duty may affect their locality pay. Employees who intend to conduct their period of professional development outside of the United States, must consult with the Human Resources Office for guidance prior to submitting their request for professional development.

4. Attire. The prescribed attire has military and civilian dimensions for staff, faculty, and students, as follows:

a. Military Personnel

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

(b) Faculty and Students. To promote free expression and critical academic discourse in seminar, wearing of appropriate civilian attire is an expectation of the College for military faculty and students. When uniforms are not prescribed, business casual is the basic standard while in the classroom for military faculty. The basic standard for students in the classroom is business casual attire for seminar, to include all offsite seminar gatherings. Outside of the classroom, military faculty and students may wear business casual attire for workday study and class preparation. After hours and on weekends, casual attire is acceptable.

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

1. During visits of four-star Flag/General Officers or equivalent civilian executives, or when personally receiving or escorting distinguished visitors on behalf of NWC.

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

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

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

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

b. Civilian Personnel

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

(2) Faculty and Students. The usual minimum standard for civilian faculty and students working and studying on campus, including in the classroom, is business casual as described in paragraph e. to follow.

c. Security Badges and Name Tags

(1) Security badges. All personnel are required to wear the NWC-issued security badge on their uniforms and civilian attire at all times when onboard the NWC complex. Security badges must be

worn on the outside of all clothing and outerwear, above the waist, where they will be conspicuously visible to security personnel.

(2) Name Tags. Name tags shall be worn when directed for special events as a courtesy to others in the college to identify first and last name. All name tags will show first and last name only. Special exception for international student (and international spouse) name tags will include name and country, no rank.

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

d. Changeover Dates for Seasonal Attire

(1) Civilian Clothing. "Casual" is the prescribed civilian attire for summer, running between the Memorial Day through Labor Day weekends unless otherwise designated. Except for weekends, holidays, or after hours, "casual" will be the prescribed attire during this period. Clothing considered a safety hazard or distracting to other employees is not appropriate.

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

e. Dress Code. Attire for faculty at the Naval War College should reflect a professional appearance befitting the mission and reputation of the institution. Our faculty represents a highly qualified team of professionals who are committed to standards of excellence, and thus should convey the prestige of the Naval War College to students, distinguished visitors, guests, and the Newport community. Choices of personal attire should be informed by the occasion that one is leading, attending, or participating in. For certain events, such as formal ceremonies, social functions, and DV visits and addresses the College will designate the category of attire. If in doubt, civilian attire should reflect that comparable to the military uniform of the day. Appendix G provides a matrix for quick reference on uniform and civilian attire equivalents for various occasions.

For US Navy faculty and staff, the Commander, Navy Region Northeast establishes the authorized uniforms and periods of seasonal wear for use in our area. Service Departments likewise establish uniform policy and guidance for various working occasions and seasonal changes. Uniform equivalent tables based on occasions are provided in Appendix G of this Handbook.

(1) General. The appropriate civilian attire for faculty during the workday is business casual. Appropriate business casual attire includes: a long-sleeved collared shirt/blouse/sweater with slacks/skirt or a dress. Denim is not considered business casual. Shoes should be appropriate for a professional environment. After hours (1700-0700 and on holidays and weekends) faculty may wear more relaxed attire. Good judgment should be applied. In the summer months (Memorial Day to Labor Day), short-sleeved collared shirts or blouses and work-appropriate sandals may be worn as part of business casual attire. Designating attire established in this Handbook represents a minimum expectation. Nothing in this policy precludes dressing more formally.

(2) Categories of Attire.

(a) Formal. For official evening social functions when civilians would normally wear a tuxedo or ball gown that are termed "black tie/white tie" events. Military will normally wear the Service designated evening/dinner/mess dress uniform.

(b) Informal. "Informal" (also "Semi-formal") is often appropriate for day or evening; business or social functions where supplementary casual forms of dress would not be acceptable. Civilian informal attire includes a business suit or dress. Shoes are of dress quality. The military equivalent is the Service dress uniform appropriate to the season.

(c) Professional. “Professional” is the standard of dress for all faculty, students, and staff when attending evening lectures in Spruance, high-level conferences, social functions in the flag quarters, or events where significant interaction with the public is intended. Professional attire consists of slacks/skirt with a dress shirt and tie/blouse (or a dress), and blazer or sweater. Shoes are of dress quality. The military equivalent of “professional” is the Service dress uniform.

(d) Business Casual. “Business casual” is the minimum standard attire for faculty in seminar and when conducting daytime business within the NWC complex. It is the same as “professional” attire without the requirement for a coat or tie. The uniform equivalent to “business casual” consists of the Navy Service Khaki and the open-collared equivalent uniform for the other Services. Business casual is also the norm for civilian faculty when the military uniform is utilities /flight suits.

(e) Casual. Casual attire can be worn for summer or designated holiday (non-teaching) periods throughout the year. “Casual” differs from business casual in that a polo-shirt or similar style collared shirt can be worn in lieu of a dress shirt. Jeans, t-shirts, and tennis-shoes or flip-flops should not be worn in NWC spaces during the work-days when classes are in session. Jeans, t-shirts, and tennis-shoes are acceptable when working or studying after-hours or weekends.

For those who are invited to certain local events, there is a term called “Newport Casual,” which originated with summer cocktail parties at polo tournaments and yachting regattas. This means a jacket and tie, or a knee-length summer cocktail dress or a linen or silk tunic or jacket with a skirt. It is more formal than “Aloha” casual for those not from New England.

5. Security and Classified Material Handling.

a. Security of Classified Material. Security of information and its physical control are the direct and personal responsibility of every person in the DoD. The DON Information Security Manual OPNAVINST 5510.36 (series) describes the responsibilities and procedures for the College Information Security Program and is available in each academic department office. The NAVWARCOLINST 5200.2 is the local Security Program instruction. It is required reading for all faculty members. For specific questions that may relate to the processing or storage of classified information in an automated system, the Information Systems Security Officer should be contacted.

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

- (1) Teaching a course with classified components.
- (2) Conducting classified research.
- (3) Directing or supervising a classified project undertaken by a student.
- (4) Engaging in mission-essential duties that require access to classified material.

The NWC hosts a number of international students in the Naval Command College and the Naval Staff College, and non-U.S. citizens may be on the faculty and staff as well. Normally, non-U.S. citizens are not eligible for security clearances. Access to classified information while at the NWC may be justified in furtherance of the DoN mission. Classified material, however, will not be disclosed to international officers, including faculty, unless authorized by SECNAV M-5510.1 (series). International officers may be admitted to CONFIDENTIAL or SECRET lectures only when prior arrangements have been made by the Naval Command College or Naval Staff College Director to ensure that the requirements of SECNAV M-5510.1 (series) are met and that the authority scheduling the lecture concurs.

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

The regulations governing access to and custody of classified information, papers, and materials are prescribed in OPNAVINST 5510.36 (series). Those provisions having the most common applications to the faculty, together with local instructions, are set forth in the NWC Information Security Manual. The NWC Security Manager is required to accomplish an annual inventory of all SECRET documents.

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

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

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

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

7. Government Travel

a. Official Naval War College Travel. NWC faculty may travel in support of mission essential requirements that have a clear potential value to the College in terms of educational and professional development. As federal employees, faculty must be aware of policies, funding, approval requirements, and compliance for Defense travel. Travel at NWC requires prior authorization, funding, and lead-time to coordinate. Depending on the purpose of travel, Department of the Navy and Defense Travel Regulations require various administrative, financial, and legal procedures to properly plan and conduct trips. Detailed information can be found in the NAVWARCOLINST 4600.1 series directives, and on the NWC intranet site (available for NWC faculty via CAC) at the following link:

<https://navalwarcollege.sharepoint.com/sites/intranet/USNWCIntranet/Travel>.

Department Chairs, Directors, and Deans should scrutinize the need for trips and the number of travelers to ensure the appropriate use of government resources and compliance with Defense Travel Regulations. The NWC Travel Instruction describes the internal routing and approval process and mandates the use of the Defense Travel System (DTS) and the individual’s issued Government Travel Charge Card (GTCC) for government travel. The USNWC intranet Travel page has comprehensive “how to” guides and other resources for planning government travel. The key to successful travel at NWC is understanding the approval and funding process, planning lead-time, and properly establishing

authorizations (i.e., travel orders) and settling travel vouchers in DTS. Certain travel, such as overseas trips and attendance at NWC approved conferences requires additional planning and coordination.

b. Responsibilities. Department Chairs, Directors, and Deans are responsible for approving travel after determining that the requested travel is in the interest of the U.S. Government and meets the criteria for official travel. Deputy Deans are authorized to approve travel in the absence of Deans when time and circumstances require a timely decision. The use of a “Mission Essential Memo,” signed by the appropriate authority as outlined in NAVWARCOLINST 4600.1 (series) is required to be uploaded to all non-conference travel authorizations prior to submission for approval.

c. Procedures

(1) Temporary Additional Duty (TAD) Travel

(a) Routing of Travel Authorizations. All official travel requests will be processed using the Defense Travel System (DTS) IAW the Navy DTS Business Rules and NAVWARCOLINST 4650.4, and electronically routed through the Commercial Travel Office (CTO) for reservations, to the Departmental Reviewing Official (RO) for review and finally to the NWC Travel Office for approval. An approved travel authorization, which contains estimation of cost, obligation of funds, assignment of Travel Authorization number, and authorization of funds expenditure, is required before departure on official travel. In some cases, personnel from one department will perform travel on behalf of another NWC organizational element that has responsibility for budgeting the travel. In those cases, the Mission Essential Memo uploaded to the Travel Authorization must reflect the approval of both the individual’s organization and the authority whose funds will be expended for the travel. In all cases, the approving authority for any faculty travel shall be at the level of the Provost or the appropriate Dean or Chair. Travel for foreign military faculty follows different procedures, contact the travel office for information. NWC 4650 directives and the Travel Guide on the USNWC intranet page provide details. The basic elements of planning and the authorization process involves:

Travel itinerary

Reason / justification for travel

Mode of travel

Lodging requirements

Rental car or local in-and-around transportation authorized

Processing travel claims

Procedures for cancelled travel orders

d. Invitational Travel Orders. Department Chairs, Directors, and Deans should apply the same sound business practices in arranging travel for guests as is done for NWC personnel. The NWC travel page provides procedures to be used for payment of honoraria in conjunction with invitational travel.

e. Conference Travel. DoD Conference Guidance 4.0 defines conference as any meeting, retreat, seminar, symposium or event that involves attendee travel. The term 'conference' also applies to training activities that are defined as conferences under 5 CFR §410.404. Conferences subject to this guidance are also often referred to by names other than "conference." Other common terms used include conventions, expositions, symposiums, seminars, workshops, or exhibitions. They typically involve topical matters of interest to, and the participation of, multiple agencies and/or non-governmental participants. Indicia of a formal conference often include but are not limited to registration, registration fees, a published substantive agenda, and scheduled speakers or discussion panels." Exemptions are listed in DoD Conference Guidance 4.0. in the NWC Travel Information intranet page. The following supporting documents are required for conference travel:

- (1) Form SECNAV 5050/2 is required unless an exemption exists. For determination of exemption, please refer to the SJA's office. Please allow at least 30 days for routing and approval.
- (2) SF 182 – Authorization, Agreement and Certification of Training.
- (3) Gift of Travel acceptance.
- (4) The Mission Essential Memo is the required supporting document. A template is available on the USNWC Travel page on the intranet.

Note: The URL for the DoD Conference Guidance 4.0 can be found at:

https://dam.defense.gov/Portals/47/Documents/Products_Services/Conference_Policies/DoD%20Conference%20Guidance%20version%204.0%20with%20Memo.pdf

f. Promotional Benefits, Incentives, Reimbursements, or Gifts Received in Connection with Official Travel

(1) As a general rule, military and civilian DoD personnel may not accept cash, accommodations, meals, airline tickets, or in-kind reimbursement for participation in lectures, meetings, conferences, or symposia. However, under the provisions of SECNAVINST 4001.2 (series), the PNWC may accept certain gifts of travel (as described in the next paragraph). The Federal Civilian Personnel Instructions (CPI) 410.8 governs the procedures for acceptance of contributions and awards by civilian employees. All temporary duty requests will include an approved OPNAV Form 5050/11 or a signed statement as follows:

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

(2) The rules governing the standards of conduct for all U.S. Government employees impose some restrictions on the receipt of promotional items and payments received by government travelers from airlines, car rental agencies, and other public carriers. The term “government traveler” includes military uniformed members and civilian employees traveling under orders. The following categories of items/payments belong to the U.S. government and must be accounted for appropriately. They are further described in the NWC Travel instruction and on the NWC Intranet travel guide:

- (a) Airline Mileage or Trip Accumulation Programs.
- (b) Tangible Gifts, Prizes, and Related Incentives.
- (c) Penalty Payments.
- (d) Payments for Voluntarily Vacating an Airline Seat.

g. Gifts of Travel. The Naval War College Foundation and other nonfederal entities often provide financial and in-kind support to the College that enables faculty members to engage in professional activities outside of Newport that enhance individual expertise and institutional visibility. These offers will be processed for approval by the Provost through the faculty member's Chair, Director, or Dean, as appropriate. All requests will be routed through the SJA for legal review. If the gift of travel is accepted, the faculty member will travel on official orders in their official capacity. As such, travelers will utilize the Defense Travel Service (DTS) to acquire official orders to travel, and upload the gift of travel acceptance memo, signed by the Provost, to the DTS authorization as supporting documentation. If the gift of travel is by check or similar instrument, the non-federal entity must send a check or other instrument made payable to the U.S. Treasury and sent to ATTN: Comptroller's Office, U.S. Naval War College, 686 Cushing Rd, Newport, RI 02841. Faculty members cannot receive direct payment from a

non-federal entity. If the gift of travel is in kind, meaning the non-federal entity provides the faculty member with the benefit, not a payment for the benefit, such as providing an airline ticket or paying for the hotel, meals or conference fee, the faculty member will not include those expenses in the DTS authorization.

If approved, once the trip is completed, the faculty member shall report the actual value of the gift received to the SJA for inclusion in a required semiannual report regarding gifts of travel, with copies of the gift of travel to the Comptroller's office.

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

Note: TS/SCI clearance holders must be individually briefed on their applicable procedures by the Special Security Officer upon check-in. Indicate compliance with Foreign Travel requirements by placing the APACS (Aircraft and Personnel Automated Clearing System) ID in the "Comments to the Approving Official" section of the DTS Travel Authorization.

i. Permanent Change of Station (PCS) Travel. PCS travel procedures are described in OPNAVINST 4650.15 (series).

j. Leave in Conjunction with Travel. Faculty (government employees) may request leave in conjunction with official travel at no additional cost to the Government under certain conditions. For additional information, check with your department's travel coordinator or the NWC travel approving authority (AO). Specific policy guidance is found in NAVWARCOLINST 4600.1 (series), and the Joint Travel Regulations (JTR), Chapter 3, Part E.

k. No-Cost (Permissive) Travel Orders

(1) On certain occasions, travel may be desirable from the Navy's viewpoint, but may not be sufficiently necessary to warrant the expenditure of travel funds. Under these circumstances, NWC may issue "authorization" (permissive orders) permitting, as distinguished from directing, a military member to travel at no expense to the government. This does not apply to civilian faculty or staff.

(2) Travel must be deemed to be in the interest of the DoD/DON in order for the employee to receive regular salary while on permissive travel. On the Travel Request Form, the traveler must state why it is necessary to travel on government time and identify the benefits that would be gained by NWC as a result of the travel. If the travel is considered not in the best interest of the DoD/DON by the responsible Department Chair, Director, or Dean, the employee must be charged with annual leave or be placed on leave without pay. The NWC timekeeper will be provided a copy of all no-cost travel orders to monitor time and attendance certifications, and to ensure proper charging of labor.

l. Travel within the Local Area. DTS Travel Authorizations are not required when personnel are traveling on official business in the local area and verbal authorization of the Department Chair, Director, or Dean has been given. The local area is defined to be within a fifty-mile radius of Newport. Local travel with reimbursement requires preapproval from the Comptroller's Office to establish the financial obligation prior to travel. Claims for reimbursement of expenses incurred can be submitted on a DTS Local Voucher after the travel.

7. Important Administrative and Policy Information

a. Media and Other Public Statements. Faculty are encouraged to appear on TV and radio broadcasts and be quoted in newspapers and other public fora. The College considers these activities as within the official duties of faculty members so long as the comments are within the faculty member's substantive area of expertise, and the member is not being paid to make the statement. In such situations, faculty members may freely identify their official NWC positions when they engage in such activities. However, they must also ensure that they include a disclaimer that their comments are not reflective of official U.S. Government, DoD, Navy, or NWC positions. Below is a suggested disclaimer:

"The views expressed here are those of the [author(s) or speaker(s)] alone and do not necessarily represent the views, policies, or positions of the U.S. Department of Defense or its components, to include the Department of the Navy or the U.S. Naval War College."
(Reference 5 CFR §3601.108)

If faculty members have questions regarding the ethical or legal issues involved in a personal or official activity, they shall consult with the Staff Judge Advocate prior to engaging in the activity. Faculty may also consult with the Public Affairs Office regarding media engagement advice and are encouraged to keep the Public Affairs Office informed of media engagement activities.

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

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

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

(2) The Director of Strategic Planning and Engagement will connect the member with the Navy's Office of Legislative Affairs (OLA) for further guidance on administrative requirements and timelines. Testimony is required to be submitted to OLA within a particular time frame ahead of the testimony date for a security and policy review. Testimony is not submitted directly to the committee. OLA will also provide the faculty member with logistical support as needed when the faculty member travels to Capitol Hill.

(3) The Director of Strategic Planning and Engagement and the Public Affairs Officer are liaisons for the College with OLA and will assist faculty who have any questions on the process.

d. Unauthorized Attribution and Recording of Comments at Educational Events. The College's educational mission requires a climate conducive to the free and open exchange of ideas and opinions by students, faculty, and guest speakers. To this end and unless otherwise announced by the College or someone with authority to speak for the College, all lectures, seminars, and similar academic or policy discussions (to include conferences, workshops, roundtables, etc.) at the College are subject to the Chatham House Rule (CHR). The CHR reads: "When a meeting, or part thereof, is held under the

Chatham House Rule, participants are free to use the information received, but neither the identity nor the affiliation of the speaker(s), nor that of any other participant, may be revealed.”

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

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

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

These policies apply to all students, faculty, staff, and visitors. They apply not only to events on the grounds of the College but also to CDE, remote classrooms, seminar off-sites, and other meetings run by the College. The policies are designed to support the free exchange of ideas and opinions without fear of retaliation and to encourage visiting dignitaries to speak freely. They should encourage the discussion of ideas and concepts central to an education in JPME at the master’s degree level in both formal and informal settings. The policies do not protect any individual against improper speech, discussion, or behavior. However, if the comments are transcribed or recorded, a release form must be signed prior to the speech and the recording is subject to Freedom of Information Act (FOIA) regulations.

e. Videotaping and Audiotaping of Lectures

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

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

f. Freedom of Information Act. The FOIA (5 U.S.C. 552) requires the release of information in agency records to the public, unless the information is exempt from release and disclosure would jeopardize a governmental interest. The exemptions are defined by statute and explained by SECNAVINST 5720.42 (series). The NWC non-attribution policy cannot transform otherwise releasable information into exempted information. While the non-attribution policy supports a governmental interest that could be jeopardized by disclosure of information, (i.e., academic freedom) no “blanket

exemption” applies to speeches, briefings, lectures, or remarks presented at an educational institution. If the information conveyed by a speaker is recorded or transcribed and does not fall within an exemption, it must be released in response to a request under the FOIA. Similarly, any writing that is retained as part of NWC records is subject to release under the FOIA. To ensure consistent implementation of this policy, the PNWC, has the authority to determine whether to release information to any requestor from outside the College, whether or not the FOIA is cited as authority for the request, when that information was obtained subject to the non-attribution policy. The SJA is the FOIA program action officer. All requests that fall or appear to fall within the FOIA are to be promptly referred to the FOIA program action officer for appropriate resolution. If such requests are received by other offices in the College, they shall be immediately delivered to the FOIA program action officer for processing.

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

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

i. Use of Personally Owned Computers and Software. NWC faculty and staff members shall, as a matter of practice and policy, predominately utilize government furnished equipment, (e.g. computers/workstations and software) to do government-related work. Faculty and staff are authorized to use portable personal devices on the academic Wi-Fi (BYOD network) for personal professional development, personal research in their area of interest, classroom demonstration, or in the case of mobile devices, to stay in communication with students via email, etc. as long as the related data is stored, viewed, and manipulated from online repository in the related NWC official application/solution (e.g. Exchange Online (as part of the NWC MS365 environment), Blackboard, Zoom, or other authorized media.

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

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

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

(2) Reproduction of Copyrighted Material. Intellectual property has become an ever-increasing matter of concern within the academic community, especially with the arrival of high-tech multimedia formats and electronic modes of distribution. Faculty members should always be aware of the potential for infringement of copyright when generating multiple copies of any copyrighted material for assigned reading. They should also be careful to use appropriate citations for original works and reproductions. Because copyright infringement can result in legal actions carrying severe monetary penalties, restrictions on copyrighted materials are closely observed by the NWC. Reproducing, creating derivative works, distributing or publicly displaying or performing a copyright protected work, even in an academic setting, can be an infringement of the copyright holder's rights. This includes using public domain or government works with third party copyright protected incorporations (like images or maps). The NWC Copyright Office is available to informationally support aspects of faculty's instructional design decision making process. Per NWC Copyright Policy, faculty using copyright protected materials are responsible for ensuring compliance with applicable copyright law and licensing agreements. NWC faculty are individually responsible, with available assistance from the NWC Copyright Office, for assessing if a work is subject to copyright, and whether a copyright protected work is available for use, and if required, ensuring that the appropriate permission is obtained from the copyright holder prior to use of the work and with enough lead time to meet required deadlines. NWC does not assume legal responsibility for any independent application of copyright principles made by NWC faculty that is not in good faith or that does not otherwise comply with policy.

For more information, please visit the NWC Copyright Guide:

<https://usnwc.libguides.com/copyright>

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

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

- (1) Naval Command College
- (2) Naval Staff College
- (3) Center for Naval Warfare Studies
- (4) College of Distance Education
- (5) War Gaming
- (6) China Maritime Studies Institute
- (7) Cyber and Innovation Policy Institute
- (8) Russia Maritime Studies Institute
- (9) Center for Irregular Warfare and Armed Groups
- (10) Maritime Advanced Warfighting School

(11) Advanced Strategist Program

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

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

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

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

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

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

Official long-distance calls should be made via Classified VoiP, Zoom, or Teams if OCONUS whenever possible. NWC personnel can use commercial long-distance service to CONUS telephone areas or OCONUS areas that cannot be reached otherwise.

The Vice President/Chief of Staff and the responsible MRM coordinate the NWC telephone system, including all contacts with the telephone company. Departments may provide further guidance on long-distance telephone calls commensurate with their fiscal responsibilities and budget management. They should periodically remind their faculty members that following the above procedures can significantly reduce departmental costs for telephone calls and thereby save money for other academic purposes.

8. Continuity of Operations and Emergency College Closing.

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

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

(1) Notification System. The NWC subscribes to a notification service to send a voice or text message to phones and/or e-mail accounts. This is a voluntary service and students, staff, and faculty can sign up or disenroll by e-mailing the IRD Help Desk or through a registration feature on the USNWC intranet (*see the ENMC link on the “Popular Links” option on the intranet*). The incoming call for weather notifications will appear as 401-856-6400.

(2) Emergency and Inclement Weather Message Line. The command duty officer provides emergency or weather-related condition changes at the College with a voice mail message on NWC’s Emergency and Inclement Weather Message Line at 401-856-6400.

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

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

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

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

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

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

9. Naval Station Newport Support and Services.

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

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

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

b. Naval Station Access

Base access and access to NWC for NWC personnel are linked to having a Common Access Card (CAC). CACs are issued to all active-duty military members, reserve, National Guard, DoD civilians, non-DoD/other government employees, and state employees of National Guard and eligible DoD contractors who need access to DoD facilities or DoD computer network systems. CACs are issued at ID card issuance offices. NWC has a DEERS/RAPIDS site that issues CAC cards by appointment. For personnel not associated with NWC, information on base access is at: <https://cnrma.cnmc.navy.mil/Operations-and-Management/Base-Access/>

c. Base Services.

Patron groups that are authorized to use Navy MWR facilities, equipment and services include Active-Duty military personnel and their family members, activated reservists, retired military personnel, civilian DOD personnel, foreign national employees assigned and working directly for the DOD installations overseas, and DOD contractors working full-time on the installation. On Jan. 1, 2020, the Department of Defense expanded some MWR program eligibility to veterans with a Department of Veterans Affairs (VA)-documented disability rating, Purple Heart recipients, former prisoners of war, and primary family caregivers for veterans enrolled in the VA's program of comprehensive assistance for family caregivers (MWR category A activities are not included in the eligibility).

Appendix A References

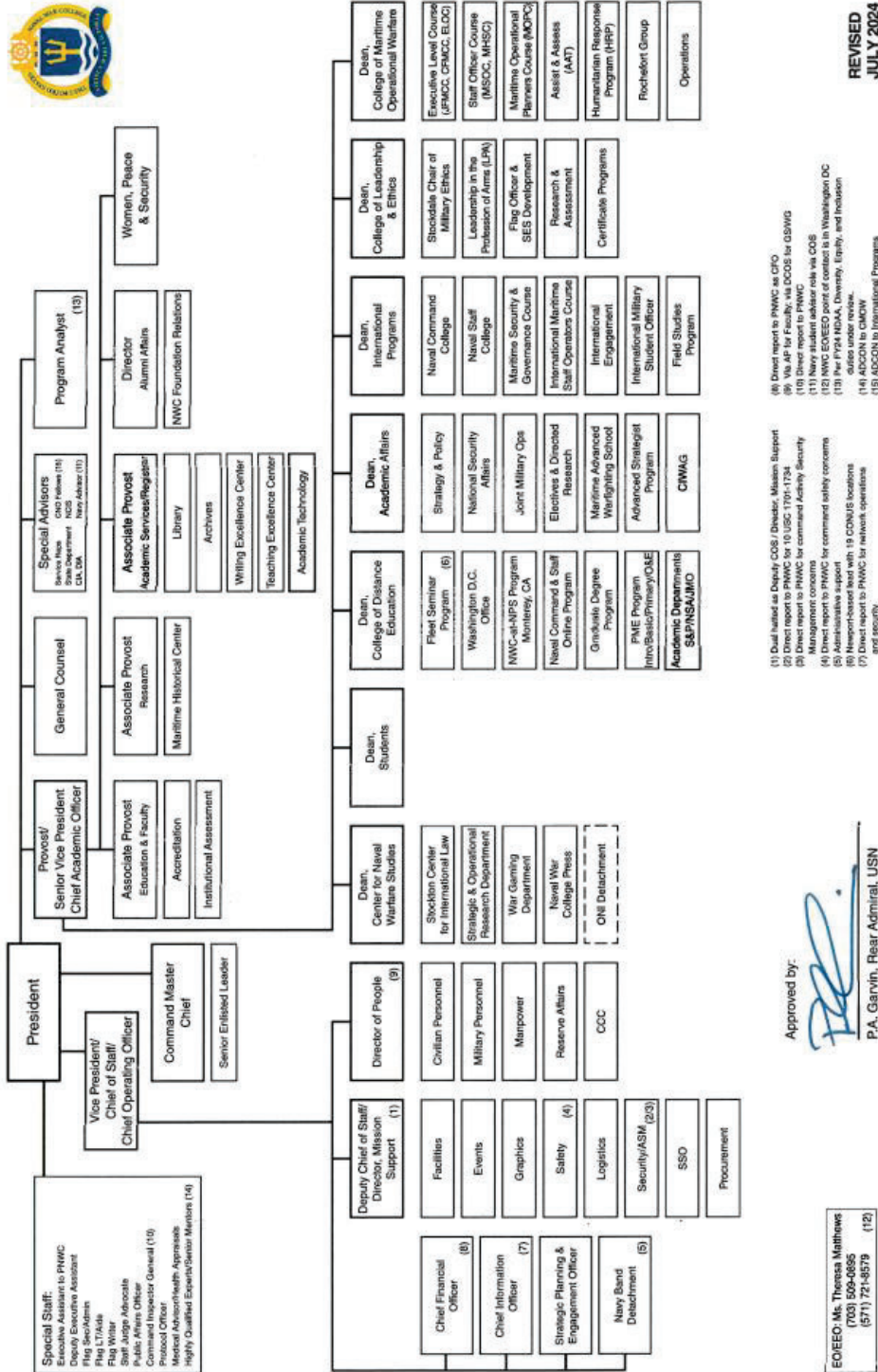
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5 U.S.C. §3326	Appointments of Retired Members of the Armed Forces in the Department of Defense, (2023)
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5a U.S.C. Compiled 92-463, §1	Federal Advisory Committee Act (FACA), (1972)
10 U.S.C. §5947	Requirement of Exemplary Conduct, (2011)
10 U.S.C. §7478	Naval War College and Marine Corps University: Civilian Faculty Members, (2011)
10 U.S.C. §8748	Naval War College and Marine Corps University: Civilian Faculty Members, (2024)
17 U.S.C. §105	Subject Matter of Copyright: United States Government Works, (2023)
42 U.S.C §2000e-2	Unlawful Employment Practices, (2010)
5 CFR §213	Excepted Service, (1 Jan 2023)
5 CFR §410.404	Determining if a Conference is a Training Activity, (2024)
5 CFR Part 2635	Standards of Ethical Conduct for Employees of the Executive Branch, (2011)
5 CFR §3601.108	Disclaimer for Speeches and Writings Devoted to Agency Matters, (2023)
32 CFR §219.110	Expedited Review Procedures for Certain Kinds of Research Involving No More Than Minimal Risk for Minor Changes in Approved Research, (2013)
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The Joint Travel Regulations (JTR), https://www.travel.dod.mil/Policy-Regulations/Joint-Travel-Regulations/	
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SECNAVINST 3900.39E CH-1	DoD Civilian Personnel Management System: Performance Management and Appraisal Program, 28 March 2017
SECNAVINST 4001.2K	Acceptance of Gifts, 7 May 2018
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SECNAVINST 12271.1 CH-1	Department of the Navy Telework Policy, 11 Feb 2019
SECNAVINST 12771.2	Department of the Navy Administrative Grievance System, 30 July 2010
SECNAVINST 12300.9A	Merit Staffing, Placement, and Employment, 20 December, 2018
SECNAVINST 12534.1D	Civilian Faculty Pay Schedule for the U.S. Naval Academy, The Naval War College, The Naval Postgraduate School, and The Marine Corps University, 31 December 2018
SECNAV M-5210.1	<i>Department of the Navy Records Management Program</i> , September 2019
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Appendix B Organizational Chart



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Appendix C

Faculty Hiring Documents

INSTRUCTIONS FOR SELECTION ADVISORY COMMITTEE MEMBERS

1. The purpose of the selection advisory committee is to recommend to the selecting official the best-qualified candidate(s) for the position being filled. Any questions regarding the position should be addressed to the member of the panel who is the subject matter expert or the selecting official. Any questions regarding Human Resources regulations will be directed to a representative from the Human Resources Office (HRO).
2. All committee members should first review the position description (PD) and the vacancy announcement. The selecting official or the HRO Specialist will provide a copy of the PD and the vacancy announcement to the committee members.
3. The committee must determine the best-qualified candidates using guidelines described in the announcement, expanded guidance provided by the selecting official, and the interviews conducted. Only job-related criteria can be considered.
4. The committee may interview some, all, or none of the candidates. When conducting interviews, candidates should be asked the same questions by the same panel member in the same order. All questions must be job-related. Assistance in developing questions will be provided by HRO if needed.
5. When the panel has completed the above, the Committee Chair will prepare a memo to the selecting official with their recommendations. The memo will contain:
 - a. The search process followed
 - b. The selection criteria developed
 - c. A list of who served as panel members
 - d. The number of applications received
 - e. The number of applicants who were not qualified
 - f. The number of applicants qualified
 - g. Of those qualified, what was the criteria that got them to be best-qualified
 - h. The number of applicants interviewed
 - i. A certification that all candidates were considered on a fair and equitable basis
 - j. A summary of the committee's down-selection processes

Note: This memo should be sent to the selecting official via the Department Chair/Director, Dean, and HRO.

6. All committee documentation/notes should remain together with the files and sent to HRO or retained by the Department. This information must be retained for three years.
 - a. All information discussed in the panel is confidential.
 - b. Applications usually contain Personal Identifiable Information (PII). Panel members are advised to adhere to PII requirements.
 - c. All panel members must be impartial and must base their decisions on what is presented in the application and at the interview.

Sample Search Committee Letter

Month dd, yyyy

MEMORANDUM

From: Chair, (*Insert Position Title of Vacancy*) Search Committee, U.S. Naval War College

To: Dean, (*Insert Deanery*), U.S. Naval War College

Via: Chair or Director, (*Insert Department or Program*), U.S. Naval War College

Subj: INSERT POSITION TITLE SEARCH COMMITTEE RECOMMENDATION (No acronyms)

Encl: (1) (*Insert subject of the supporting document*)

(2) (*Insert subject of the supporting document*)

1. Discussion

a. The U.S. Naval War College (NWC) received spell out nine and below numerically annotate 10 and above applications for *the Insert Position Title* position. The hiring committee, comprised of *insert list of committee members* with prefix titles, met with NWC Human Resources representative to review the instructions for advisory committee members and to obtain necessary documents on the remaining candidates to begin the down-selection process. (Annotate any additional relevant factors, such as a candidate withdrawing from consideration, and then state the number of candidates that were interviewed.)

b. The committee met on Month dd, yyyy to review candidate documentation in detail and determined to interview both/all/one, etc. candidate(s) (add additional details, such as determination for virtual interviews, etc.).

c. The evaluation criteria and review of candidates focused on several factors outlined in the Position Description. All candidates were considered on a fair and equitable basis.

(1) List evaluation criteria

(2) (List additional evaluation criteria as needed)

d. Questions for the interviews were reviewed, edited, and assigned. Interview questions were developed and assigned using the Position Description and vacancy announcement. (Virtual interviews were held the week of dd Month.) (Repeat this format if candidates were interviewed on different days.) After each interview, the committee discussed their individual perspectives of the candidate and their fit to the advertised position. (After the interviews, the committee reached a consensus and determined the *insert quantity* candidates who should participate for an on-campus interview to be held *insert time frame for on-campus interviews*. *Insert name of candidate* with prefix title interviewed on Day of week, Month dd and repeat formatting above for remaining candidate(s) as needed.)

e. The onsite interview process included in-depth questions for the candidate(s). Both/all/one, etc. candidate(s) delivered a presentation on how they would insert guidance for the assigned project. (One change to the hiring panel participants for this round of interviews was the inclusion of *insert added* committee member's name and title prefix, insert this individual's title, state the reason for the addition. State the capacity to which the added committee member participated.) Additionally, as part of the in- person visit, candidates met with *insert* position title followed by name with prefix title for anyone of note that the candidates met with (and participated in a campus tour and lunch.)

f. Upon the completion of the on-site interviews, the committee proposed a list of the best-qualified candidate(s). (A consensus was reached via roundtable discussion.) Committee members have agreed to notes and final decisions per the submission of this memo.

g. Reference checks were made by *insert name* with prefix title for the committee member(s) who conducted reference check(s) for both/all/one, etc. candidate(s). [If reference checks were completed prior to the development of best qualified list, swap the order of paragraphs f. and g.]

2. Recommendation

a. The hiring committee recommends *insert full name* with prefix title of the recommended candidate as the leading candidate for the insert position title position. Per their resume, insert last name with prefix title of candidate state what the committee liked about this candidate that separated them from other candidate(s). Overall, the committee supports this candidate for the position state any further relevant information for this candidate.

(1) Elaborate on the recommended candidates' highlighted attributes or non-tangibles, citing specifics from virtual/on-campus meetings or presentations.

b. (Repeat the process above for remaining best-qualified candidate(s) (finalist(s)) in rank order, stating whether they would be recommended as an alternate or not recommended for the position. Additionally, elaborate in detail in defense of the chosen disposition for the candidate(s).)

F. M. LAST

**Sample Hiring Committee
Recommendation**

Month dd, yyyy

MEMORANDUM

From: Dean, (Insert Deanery), U.S. Naval War College

To: Provost, U.S. Naval War College

Subj: INSERT POSITION TITLE HIRING RECOMMENDATION

Encl: (1) Insert subject of supporting document

(2) Insert subject of additional supporting document(s)

1. Background. State any relevant background information from the search committee’s recommendation that may affect the Provost’s decision. Include any changes to the committee after the first round of interviews or additional considerations.

2. Recommendation. State, in order, the candidate(s) recommended as “best qualified”, “better qualified”, “qualified” etc. These recommendations are often followed up with a phone call or office call, but this decision memo should include enough information that the person recommended to be hired is clear. This recommendation often also includes AD grade and Step to be offered, as well as any relocation expenses NWC is willing to cover or hiring incentives that will be offered.

a. If additional paragraphs are used, utilize this format.

b. Additional paragraphs as needed.

F. M. LAST

PROVOST DECISION:

_____ APPROVED

_____ DISAPPROVED

_____ OTHER

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Appendix D

Promotion and Tenure Packet and Summary of Eligibility and Standards

BEST PRACTICES AND EXPECTATIONS FOR PROMOTION AND TENURE APPLICATIONS

1. These best practices are offered to assist candidates for promotion and/or tenure in the preparation of their P&T applications as well as provide expectations for deans, directors, department chairs, and departmental and NWC P&T committees.
2. Candidate Letter. The candidate application should include a letter that clearly articulates how they meet or exceed the criteria for promotion and/or tenure. The letter should:
 - a. Include a paragraph detailing the request for tenure/promotion and fulfillment of time in service requirements or approved waiver.
 - b. Briefly describe the candidate's experience at the Naval War College.
 - c. Identify the candidate's area(s) of expertise.
 - (1) Candidates should indicate areas where they retain currency, maturation, and engagement.
 - (2) For tenure track applicants, the area(s) of expertise should be reflected in an explanation of their superior performance of all three areas of evaluation (education, research, and service).
 - (3) For non-tenure track applicants, the areas(s) of expertise should be reflected in an explanation of the category or categories they consider themselves to have demonstrated superior performance, in accordance with the *department or college-weighted contributions* and standards.
 - d. Specify experience, expertise, and accomplishments in support of the NWC mission, detailed in reference (k), and administrative or leadership responsibilities within NWC.
 - e. Indicate service contributions within wider academic and/or professional communities.
 - f. Articulate how the candidate *meets or exceeds* the criteria for promotion and/or tenure.
 - g. Evaluate how the candidate's promotion would serve the mission of the NWC and broader academic and/or professional communities.

Note: Attaining terminal degrees is an important career step in academic environments. Therefore, non-tenure track applicants who obtain a terminal degree after hiring are encouraged to address in their letter how attaining that degree has furthered or relates to their professional growth or will facilitate or enhance their potential for future accomplishment.

3. Letter of Waiver. In exceptional cases, the Provost may waive time in grade requirements, which allows faculty to be considered for promotion before established timing guidelines contained in this instruction.
 - a. A candidate may submit a waiver request to the respective dean/director/department chair before submitting the packet to the department/college P&T committee. Waivers must be approved before a candidate can apply for consideration by a P&T committee.
 - b. Dean/director/chair will review and submit waiver requests to the Provost.
 - c. Provost will review and decide whether to approve the request; the Provost will communicate the decision in writing to the candidate through the respective the dean/director/chair.
 - d. If approved, the candidate shall include the approved waiver and/or other Provost correspondence in the P&T packet.

Note: Packets that do not meet the time-in-grade requirements without a Provost- approved waiver will not be reviewed by the NWC P&T Committee.

4. Dean/Director/Chair Endorsements. Endorsements on the candidate's application from the dean/director/chair should:
 - a. Certify that the faculty member meets all administrative requirements (i.e., time in grade, MOU caveats) for promotion to the next academic grade as outlined in this instruction.
 - b. Indicate the department/college weighted areas of contribution among the three areas for evaluation (education, research, and service).
 - c. Clearly state how the candidate compares against the he criteria for promotion and/or tenure contained in this instruction and the respective departmental standards.
5. Department and NWC P&T Committee Recommendations. Letters from department/college-level P&T committees should reflect the committee's decision and any considerations based on department and NWC P&T standards.

6. Curriculum Vitae (CV). The CV should be up-to-date and demonstrate an arc of professional growth, high performance, and expertise whether as tenure track or non-tenure track faculty.

Note: Though professional formats for CVs vary, the sections of the CV should enable reviewers to clearly identify educational attainment, professional experience, professional contributions, service/volunteer activities, honors/awards, etc.

7. Executive Summary. The candidate should prepare an executive summary of the packet. The executive summary more specifically details the candidate's specific contributions to each criterion – education, research, and service. The executive summary should align with supporting materials and demonstrate how the candidate *meets or exceeds* these P&T criteria.
8. External Reference Letters. Required for all applicants, reference letters are extremely important and provide insights into candidates' contributions to their discipline/areas of expertise.
- a. Reference letters should be from individuals who can address the qualitative nature of the candidate's work and the potential for future work.
 - b. The letters should demonstrate that the candidate is a visible and engaged member of the respective professional community.
 - c. The letters should also be detailed rather than perfunctory. For example, a letter from a senior or peer detailing the impact of the candidate's scholarship on their respective field of study or discipline is appropriate.

Note: The process of requesting external letters is determined by the candidate's respective department/college. At some institutions, the candidate nominates several potential letter writers to the department chair, who has the responsibility of requesting letters from the nominated individuals. At other institutions, the candidate contacts potential letter writers and provides evidence of scholarship along with a summary of professional contributions to these individuals. The letter writers then send their letters to the department chair.

9. Letters of Support. Letters of support are optional but provide additional assessments of the applicant's candidacy for promotion and/or tenure. For example, if the applicant has created a model/book/curriculum for use in a Navy organization, a letter from someone in that organization stating its use and impact would be appropriate.
- a. Letters of support from outside the candidate's deanery (or department) are admissible and could demonstrate engagement with wider professional communities within the Naval War College.
 - b. Candidates may include additional correspondence from senior leaders, research sponsors, and practitioner community members that specifically address the value and impact of the candidate's contributions.

10. Supporting Materials. Supporting materials substantiate the candidate's qualifications and contributions and come in many varieties as related to the areas of consideration.
- a. *Education*, e.g., student feedback, departmental evaluations, teaching philosophy, peer evaluations, comparable application of teaching in non-classroom settings (e.g., wargames), course design, faculty notes, team coordination, lesson contributions, etc.
 - b. *Research*, e.g., candidate authored or contributions to journal publications, books, wargaming reports, research efforts, refereed conference presentations, material used by other institutions, and receipt of invitations to professional events, sponsor endorsement memorandum, etc.
 - c. *Service*, e.g., service within the wider academic/professional community inside and outside the NWC, NWC committee, administrative, and leadership roles, interdisciplinary activities, volunteer activities, journal reviewer, collateral duties at NWC, etc.

Note: For P&T candidates who have classified enclosures supporting their P&T promotion packet, in each respective tab of the submission state the titles of classified work, a short unclassified synopsis, and originators (e.g., lead author or contributor; endorsements and/or commendation artifacts to the individual or their leadership within NWC, etc.), with accompanying information on how to access the classified work. The NWC P&T Committee members, based on clearance level and a need to know, will view the body of the classified works in the appropriate classified environment.

11. Other. For candidates seeking promotion to full professor, it is incumbent upon the candidate, and his/her leadership if appropriate based on the candidate's record, to make a strong case for how the candidate has demonstrated *superior* performance and productivity as applicable, and has the potential for making *future superior contributions* to the College and the wider academic or professional practitioner community.

SUMMARY OF ELIGIBILITY AND STANDARDS

This table is intended to provide a summary of the eligibility and standards for promotion at the Naval War College, applicable from AD-01 to AD-07. The authoritative standards for NWC Promotion and Tenure are contained in the base instruction; this table is intended for quick reference for P&T committees but does not supersede details contained in the instruction.

Rank	Eligibility	Standards: Promotion, Tenure, Permanent Appointment (Education, Research, Service) <i>Anticipates the ability and motivation to excel at the next higher rank.</i>	Remarks
Instructor/Research Associate/Fellow (AD-01)	<ul style="list-style-type: none"> • Upon completion of terminal degree or sufficient professional experience. 	Eligible AD-01: Show promise of high-quality work (all three areas)	Promotion eligibility – hiring issue, not College P&T process.
Assistant Professor (AD-03)	<ul style="list-style-type: none"> • Initial appointment is 3 yrs with 4 year follow-on • Eligible - TT must apply in their sixth year. • If Non-TT fails promotion, may reapply for promotion after not less than 2 years. (<i>not up or out</i>) 	<p>Exemplary performance and demonstrated potential for continued improvement, maturation, and future accomplishment in all three areas – in accordance with department needs.</p> <p>TT:</p> <ul style="list-style-type: none"> • Education – Excellent performance • Research – high level of scholarly productivity. • Service – Excellent performance as defined by dept... Service beyond home dept is highly valued. Work effectively with others. <p>Non-TT: (three categories, proportionately weighted by dept)</p> <ul style="list-style-type: none"> • Education – Excellent academic or professional instruction • Research – evidence of high-level contributions. • Service – Excellent performance as defined by department...Service beyond home dept is highly valued. Work effectively with others. 	<p>Eligibility - Extension of promotion clock and waivers described.</p> <p>Standards See Chapter IV.</p>

Rank	Eligibility	Standards: Promotion, Tenure, Permanent Appointment (Education, Research, Service) <i>Anticipates the ability and motivation to excel at the next higher rank.</i>	Remarks
Associate Professor (AD-05)	<ul style="list-style-type: none"> • Initial appointment is 2 years, renewable. • Eligible - Not less than six years (both TT and non-TT). • Can reapply if not successful after not less than 2 years. • Non-TT may apply for permanent appointment after no less than 6 years as associate professor. Departmental standards expected to be comparable for TT in terms of exemplary contributions across all three duties. 	<p>Longer sustained record of superior performance and demonstrated potential...across all three areas. Includes awarding of tenure if not already awarded.</p> <p>TT:</p> <ul style="list-style-type: none"> • Education – longer sustained record of excellence and dept and/or college wide curriculum efforts • Research – an additional iteration of high level contributions to the knowledge base in their field • Service – longer sustained record of excellence, including leadership positions within NWC and/or in professional organizations. Advance NWC mission beyond education and research. <p>Non-TT:</p> <ul style="list-style-type: none"> • Education - Longer sustained record of excellence • Research - Additional iteration of contributions to the knowledge base in their field and impact across community of practice. • Service – Significant service and leadership to the College and profession; demonstrates rising stature in their field of expertise; ability to work effectively with others in advancing the NWC mission 	<p>Waivers on time requirements: Truly exceptional circumstances upon approval of the Provost via Dean.</p> <p>Standards: see Chapter IV</p>

Rank	<ul style="list-style-type: none"> • Eligibility 	<p style="text-align: center;">Standards: Promotion, Tenure, Permanent Appointment (Education, Research, Service) <i>Anticipates the ability and motivation to excel at the next higher rank.</i></p>	Remarks
Professor (AD-07)	<ul style="list-style-type: none"> • Scholar of stature • Substantial body of academic achievement • Demonstrated superior performance • Potential for making future superior contributions • Capable of making contributions across the college and engaged in their professional community 	See Chap IV.	

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Appendix E

Student Academic Awards

This appendix provides details on the various student awards for academic excellence in courses and programs at the Naval War College, as introduced in Chapter V.

1. Awards for Academic Distinction.

(a) The **Navy League Awards** recognize two resident June graduates for extraordinary achievement in a variety of categories, including academic performance, participation in NWC activities, participation in civic/community activities, and promotion of the armed forces/government services in the public interest.

Selected students from the College of Naval Warfare receive the **Stephen Bleecker Luce Award**, while selected students from the College of Naval Command and Staff receive the **William Sowden Sims Award**.

The Dean of Students will submit nominees from each class to the President's Honor Graduate Awards Board, which will determine the winning students. The board consists of the Provost, Dean of Academics, and the Dean of Students. The commemorative plaque for the Luce and Sims Awards will be permanently displayed at the College. The name of each award recipient will be engraved on an individual nameplate, which will be affixed to the permanent plaque.

(b) The **President's Award for CNW and CNC&S Honor Graduates** in the February/March and October/November classes is presented at the respective graduation ceremony to those students who demonstrate a high degree of academic performance, participation in NWC activities, participation in civic/community activities, and promotion of the armed/government services in the public interest.

The Dean of Students will submit nominees from each class to the President's Honor Graduate Awards Board, which will determine the winning students. The board consists of the Provost, Dean of Academics, and the Dean of Students. The commemorative plaque for the President's Award will be permanently displayed at the College. The name of each award recipient will be engraved on an individual nameplate, which will be affixed to the permanent plaque. Cohorts for which no students achieved High Distinction or Distinction will not be awarded a President's Award.

(c) The **RADM Joseph C. Strasser NCC and NSC International Leadership Prizes**. These awards recognize the international officers from the senior and intermediate class who best embraced Admiral Arleigh Burke's vision of international programs as a place for naval officers from around the world to foster trust, confidence, friendship, and international cooperation, and advance those principles among their classmates while at the U.S. Naval War College.

(d) The Naval War College Foundation sponsors three academic awards for distance education students.

The **McGinnis Family Award for Outstanding Performance in Nonresident Seminar Education** recognizes the outstanding CDE Fleet Seminar Program *military* graduate with the highest GPA.

The **Captain George E. Thibault Award** recognizes the outstanding CDE Fleet Seminar Program *civilian* graduate with the highest GPA.

The **Vice Admiral John T. Hayward Award for Outstanding Performance in Online Distance Education** honors the CDE Online Program graduates with the best overall academic performance during their enrollment. The final course must have been completed prior to 1 June of the year the award is presented. Winner receive a \$1000 cash prize and a plaque or certificate.

(e) Other academic awards include:

The **Admiral Ike Kidd Naval Intelligence Foundation Award**, awarded to the intelligence community professional with the best overall academic performance at the completion of the academic year.

Dr. Daniel and Susan Thys Academic Prize, awarded to the U.S. Navy student with the highest-grade point average at the completion of the academic year.

Captain James T. Larkin Award for Academic Excellence by a U.S. Marine Corps Officer with the highest grade-point average at the completion of the academic year.

Edward H. Bragg Award for Academic Excellence by a U.S. Coast Guard Officer with the highest grade-point average at the completion of the academic year.

The **Admiral Arleigh A. Burke Award for Academic Excellence**, presented to the international master's degree student with the highest grade-point average at the completion of the academic year.

(f) The following awards will be presented at the International Programs Pinning Ceremony:

Richard Colbert Embed of The Year Award. In recognition of exemplary contributions to the Naval Command College in advancing Admiral Richard G. Colbert's goal of preparing senior international naval officers for higher command responsibilities – providing a world-class academic education and fostering a better understanding of the United States.

Admiral Jonas Ingram Embed of The Year Award. In recognition of extraordinary contributions to the Naval Staff College by exemplifying Admiral Jonas Ingram's dedication to fostering a global maritime force, providing a world-class academic education, and fostering a better understanding of the United States.

NCC and NSC Sponsor of The Year Awards.

2. Writing and Research Awards.**(a) SECDEF/CJCS National Essay Contest**

The SECDEF/CJCS national essay contest is sponsored by National Defense University (NDU) and recognizes the best writing by PME students nationwide. The contest involves three rounds: an institutional round, a national online semi-final, and the final round. During the institutional round (March-April), a panel of NWC faculty judges selects those essays written by NWC students that will advance to the semi-final round. The final round takes place annually in May at NDU in Washington D.C., and four judges from NWC travel to NDU to take part in the semi-final and final rounds of judging. The official Call for Papers (CFP) for the SECDEF/CJCS essay contest is announced by the Dean of Academics every year in *January*. To obtain a copy of the CFP, faculty and students may contact department leadership/administration, the Writing and Teaching Excellence Center, or visit the Writing Center's Blackboard course website. NWC Faculty may also visit the contest website for more information: <https://ndupress.ndu.edu/About/EssayCompetitions/Essay-Rules/>.

(b) NWC Writing Awards

At the end of every academic year, NWC students are recognized for their writing and research across a wide range of academic and professional focus areas. Faculty members play an important role in this initiative throughout the year by ensuring students are aware of these opportunities, encouraging student participation, and serving as expert judges who evaluate and select the best essays in each category. To promote student participation, faculty are encouraged to screen papers prepared for their courses in order to identify the best student writing and research and, when warranted, to provide constructive feedback in order to help students refine

their written work for competition. Faculty interested in volunteering as a judge should contact the Writing Center.

The Dean of Academics announces the official Call for Papers (CFP) for the NWC writing and research awards every year in *February*. Faculty members who have questions about the end-of-year writing awards should refer to the annual CFP or contact Writing Center faculty. To obtain a copy of the CFP, faculty and students may contact department leadership/administration, the Writing Center, or visit the Writing Center's Blackboard course website. Below is a current list of end-of-year writing and research awards.

(1) Admiral Richard G. Colbert Memorial Prize: Awarded for the best paper focusing on an economic, military, political, strategic, or tactical aspect of an appropriate professional topic. Winner receives a certificate and \$1000.

(2) Admiral Stockdale Memorial Leadership and Ethics Prize: Awarded to the best paper addressing a topic related to Leadership or Ethics in the Profession of Arms. The competition is open to all students. Winner receives a certificate and \$1000.

(3) Asia-Pacific Studies Prize: Awarded to the best paper related to the Asia-Pacific, comprising the maritime and continental territory from South and Central Asia to the Pacific Rim. A wide range of historical and contemporary topics are eligible, including war and revolution, economics, grand strategy, and great power competition. Winner receives a certificate and \$1000.

(4) Captain Jerome E. Levy Economic Geography and World Order Prize: This award recognizes the best paper that addresses and proposes potential solutions in the disciplines of economic geography and national/international security. Winner receives a certificate and \$1000. Economic geography is a sub-discipline of geography which studies the distribution, locations and interrelationships between human economic activities across place, space and scale (global, regional, national, local) as well as the intersection of these activities with the physical environment. Economic geographers employ a wide range of approaches for analysis and problem solving including: locational, geospatial, regional, and network analysis. Many topics commonly studied in economic geography have significant international, national and maritime security dimensions such as: climate change and environmental security, infrastructure development, transnational crime, human and health security, migration, trade, economic development, and globalization.

(5) Foreign Area Officer Association Award (FAOA) for Excellence in International Affairs (2): The FAOA prizes are awarded for the best paper submitted by a Staff College student (CDE/CNCS/NSC) and the best paper submitted by a War College student (CNW/NCC) for research papers on international affairs topics, including regional area and policy issues, FAOA language/culture, and related intelligence and security cooperation matters. Winners will receive an engraved plaque and a one-year membership to the FAOA *Journal of International Affairs*. The FAOA may also consider winning papers for publication in its journal.

(6) Mr. B. Franklin Reinauer II Defense Economics Prize: Awarded for the best paper addressing an aspect of the impact of economic factors on U.S. national security interests. Papers must focus on a topic interrelating national defense with some economic issue or problem. Examples might include (1) defense expenditure impacts on the national economy; (2) the relationship of economics to defense; (3) international economic issues and their relationship to national security. Winner receives a certificate and \$1000.

(7) General George C. Kenney Award for Writing on the Topic of Airpower: General George C. Kenney is best known as the brilliant airman who commanded the Far East Air Forces in the Southwest Pacific campaign in World War II. Kenney's operational genius and unique talents as a tactician, engineer, logistician, and strategist allowed him to make maximum use of the scarce resources available to his secondary theater. This prize

encourages original thinking on subjects related to air operations and strategy; joint and combined air operational or strategic considerations; and historical insights from air campaigns. The Kenney prize is awarded to a student who writes the best essay, exam, or research paper, on air power, including the air, space, and/or cyber domains. Winner receives a certificate and \$1000.

(8) The Honorable Juliette C. McLennan Essay Prize for Women, Peace and Security: In 2017, the Women, Peace, and Security Act was signed into law. In accordance with this legislation and its obligations under the U.S. Strategy on Women, Peace, and Security (WPS) and DoD's WPS Strategic Framework and Implementation Plan, the U.S. Naval War College's WPS Program conducts a variety of activities to integrate WPS principles into curriculum and exercises, encourage WPS research, and educate the USNWC community about WPS as an integral element of national security. The Honorable Juliette C. McLennan Essay Prize for Women, Peace, and Security honors Ambassador McLennan's historical role as the U.S. Ambassador to the United Nations Commission on the Status of Women under President George H. W. Bush. The Commission on the Status of Women is the principal global intergovernmental body exclusively dedicated to the promotion of gender equality and the empowerment of women. Original graduate-level papers addressing one of the following issues will be considered: (1) The role of gender and/or women in conflict prevention, resolution, or post-conflict stabilization; (2) the importance of including gender perspectives in planning and executing military operations; and (3) integrating WPS into one or more elements of the competition continuum, i.e., cooperation, competition below armed conflict, and armed conflict. Submissions should be in 12-pt. font and double spaced. Winner receives a certificate and \$1000. The winning essay may also be eligible for submission to the JPME "Best of WPS" writing award competition.

(9) Lieutenant Michael P. Murphy Counterterrorism Prize (2): Sponsored by the John Nicholas Brown Counterterrorism Chair, this prize honors the heroism of Lieutenant Murphy, the first Navy Medal of Honor recipient since Vietnam, who led a SEAL Team against Taliban fighters that besieged his four-member team. Ten times outnumbered, Lieutenant Murphy's team fought fiercely, all sustaining serious wounds. Lieutenant Murphy deliberately exposed himself to direct enemy fire while radioing for assistance, continued to engage the enemy until he was mortally wounded, gallantly giving his life for his comrades. The story of his heroism is the basis for the book, Lone Survivor. The Lieutenant Michael P. Murphy prize is awarded to the best paper submitted by a U.S. student and by an international student (in separate competitions). This is not a research effort, but will offer substantive, succinct, and achievable solutions to prevent and deter future terrorist events that may be directed against the United States, its allies, and interests abroad. *Note that submissions should focus on counterterrorism and not counterinsurgency. * Winners receive a certificate and \$1000.

(10) LtGen Victor "Brute" Krulak Writing Award sponsored by the Marine Corps Association Foundation: Awarded for the best paper on topics relating to the Marine Corps or Marine Corps operations. First place winner receives a plaque and \$1000. Second place winner receives a plaque and \$500.

(11) J. William Middendorf II Award for Student Research: Awarded to a resident or non-resident student or group of students whose paper makes a significant contribution in a field related to strategic or tactical concepts, logistics, or readiness. Entry may be classified. Winner receives a certificate and \$1000.

(12) Military Officers Association of America Award for Excellence in Joint Service Warfare (MOAA) (2): Awarded to one student from the College of Naval Warfare and one student from either the College of Naval Command and Staff or the College of Distance Education for the papers that are considered to have made a significant contribution to the

study, implementation, and spirit of joint-service warfare. Winners receive certificates, a three-year premium membership in MOAA, and \$500 each.

(13) Naval Submarine League Award: Awarded for the best paper related to submarine warfare. A wide range of topics are eligible, including submarine operations, strategic submarine warfare, support to submarine warfare such as construction, training or logistics, and innovative advances in submarine warfare such as Unmanned Underwater Vehicles. Eligible topics are not limited to the U.S. submarine force and may cover past, current, and future operations. Winner receives a certificate and \$500.

(14) Naval War College Foundation Award: Awarded for the paper making the most significant contribution to some aspect of maritime strategy or the operational level of warfare. This prize encourages original thinking on subjects related to maritime strategy and the operational or strategic issues in maritime theaters of operations; joint and combined operational or strategic considerations; and historical insights from naval, land, and air campaigns that can be applied to current strategic or operational issues. Winner receives a certificate and \$1000.

(15) Naval War College Surface Navy Association Award: Awarded to the best paper on the subject of operational employment of surface naval forces. Winner receives a certificate and \$500.

(16) Vice Admiral James H. Doyle, Jr., Military Operations and International Law Prize (2): Awarded to the best paper submitted by a U.S. student and the best paper submitted by an international student (in separate competitions within those two student categories) that make a significant contribution to the role of international law in military operations during peacetime, armed conflict, or other operations. The comprehensive field of international law and military operations covers all aspects of the role international law plays in military operations. This includes planning, mobility, control of the transition from peacetime operations to armed conflict, and the developing role of international law in current operations. Issues pertaining to the law of the sea (including freedom of navigation and over flight, military uses of the seas and air spaces above, maritime law enforcement, and resource and environmental considerations), the law of armed conflict, and rules of engagement fall within this definition. Winners receive certificates and \$1000.

(17) Robert E. Batemans' International Prize Essay Award: Awarded to International students attending the Naval Command College during their year of residence. Papers should focus on original thinking on force planning or current operational or strategic issues of maritime interest. These may include topics such as (1) concepts for the improved execution of some military task or mission; (2) concepts for the use of military forces--unilaterally, bilaterally, or regionally; or (3) historical insights from maritime campaigns which can be applied to current strategies or operations. Winner receives a certificate and \$1000.

(18) Zimmerman-Gray Essay Award: Awarded to International students attending the Naval Staff College's 10-month course during their year of residence. This paper should reflect original thinking focused on force planning or current operational or strategic issues. These may include topics such as 1) concepts for the use of military task or mission; 2) concepts for the use of military forces—unilaterally, bilaterally, or regionally; 3) historical insights from maritime campaigns which can be applied to current strategies or operations; 4) a future security or strategy issue of relevance to a particular nation or region of the world. Winner receives a certificate and \$1000.

(19) Armed Forces Communications and Electronics Association (AFCEA) Research Honor Awards (2): Awarded to U.S. resident students of the College of Naval Warfare and the College of Naval Command and Staff for papers prepared as part of the academic requirements for the Joint Military Operations (JMO) course. Within the scope of acceptable topics for the JMO paper, the award will recognize the two papers considered to be the best

of the eligible papers, one from each of two general topic areas: (1) Information in Joint Operations (IJO), Information Warfare (IW) and Operations in the Information Environment (OIE); (2) all other topics related to cyberspace, communications, electronics, command and control, and information systems. The latter area may include, but is not limited to, professionally worthy joint, combined, and service-related topics addressing cyberspace, command and control, computers, telecommunications, electronic warfare, radar, and satellites. Winners receive certificates and table clocks with engraved brass nameplates.

(20) Matthew C. Perry Award for International Research: Awarded annually for best College of Naval Warfare/Naval Command College research paper addressing the Diplomatic, Informational, Military, or Economic challenges (and recommended solutions) to a non-US country or geographic region. This prize encourages critical and creative thought on subjects related to national/theater military strategy and Joint Military Operations. First place receives a certificate and \$1000. Second place receives a certificate and \$500.

(21) The John J. D’Luhry Prize to Honor Excellence in Strategic Analysis and Thought: Professor Michael Handel, one of the most distinguished strategic thinkers ever to have served on the faculty of the U.S. Naval War College, was the author of nine books on strategy and military affairs. As a member of the Strategy and Policy Department from 1990 until his untimely death in 2001, Professor Handel made invaluable contributions to professional military education. The Handel Prize, first given in 2006, is awarded to a resident student who writes an outstanding essay on a recurring strategic question for the final examination in the intermediate- or senior-level courses of the Strategy and Policy Department. *The Strategy & Policy faculty will nominate exceptional examination essays for consideration by the prize committee; student submissions are not accepted.* Winner receives a certificate and \$1000.

(22) Outstanding Foreign Policy Analysis Essay: This prize is awarded to a resident student who writes an outstanding essay on a recurring foreign policy analysis question for the final examination in the intermediate- and senior-level courses of the National Security Affairs Department. The National Security Affairs faculty nominate exceptional examination essays for consideration by the departmental prize committee; student submissions are not accepted. One prize will be awarded each for the College of Naval Command and Staff and the College of Naval Warfare. The exceptional essay will examine the role of the U.S. in the world as determined by U.S. government decisions driven by actors, authorities, and dynamic policy influences.

(23) Captain Walter B. Woodson, Jr., Academic Memorial Prize: Awarded for the best S&W paper written by an NSC student. *The Strategy & Policy faculty will nominate exceptional essays for consideration by the prize committee; student submissions are not accepted.* Winner receives a certificate and \$1000.

c. Ethical and Legal Considerations

(1) The Staff Judge Advocate will advise the Dean of Academics with an ethics review when requested in the case of a special academic award. All academic awards from a nonfederal entity that give the recipient any amount of cash, or a specific item (not cash) worth more than two hundred dollars, must receive an ethics review by the Staff Judge Advocate to identify any possible conflicts of interest. The Dean of Academics shall coordinate with the SJA in advance of the award so a proper ethics review can be performed.

(2) NWC writing award submissions that are the product of an NWC academic requirement may fall into the category of “government works” that are not subject to copyright and may be used by U.S. Government agencies as desired.

Appendix F

Academic Integrity Review Board Template

These best practices are offered to assist faculty who either have a case that might go forward to an AIRC or who have been asked to serve on one as well as provide support for department chairs in the preparation of an AIRC package. The package should include a cover memorandum and appendices containing supporting evidence. The following elements should be included in the package:

Department Memorandum for Referral. The package should begin with a memorandum from the Chair of the Department in which the suspected violation occurred. This memorandum should include the following sections: a description of the alleged violation of the Academic Honor Code and the name of the student, any pertinent background to the violation including discussions between the students and moderators regarding the assignment in question and the alleged violation, a justification of initiating the process of investigating the student for a violation of the Academic Honor Code, and a recommendation from the pertinent Department Chair referring the case to the AIRC. Appendices or enclosures should include:

Chronology of Events. Next, the package should include a detailed chronology that covers the background of the assignment in question including any detailed guidance given the student. It should also include a listing of all pertinent discussions (in person, over the phone, or via email) that the faculty moderators and student had about the assignment or with the Writing Center. It should also include references to discussions between the faculty about the possibility of a violation having occurred. Finally, it should detail the discussions between the faculty moderators (in person, over the phone, or via email) regarding the violation itself.

Evidence – Student Assignment Submission. The next section of the package included the documents that led to the discovery of the violation. These include a copy of the assignment that was originally submitted by the student via Blackboard. It should also include the Turnitin In report that was generated based upon the version of the paper submitted by the student via Blackboard.

Evidence – Original Sources. The package should include a collection of all pertinent evidence. This would include a separate entry for each source that was used in the paper in an inappropriate manner and were identified in the Turnitin In report. This should include a copy of the original source and highlights the passages that were plagiarized or improperly cited.





















Meeting Summaries. The next section of the package should be a summary of all of those meeting referenced in the chronology that bear on the process of preparing for or writing the assignment, such as tutorials or Writing Center meetings, as well as meeting where the alleged violation was either identified or discussed with the student. This should be followed by copies of any emails from the chronology, and which cover the same type of topics that were covered in the meeting summaries.

Student Correspondence, Statements, Communications. The student should be given the opportunity to make a written statement to answer the alleged violation to the Academic Honor Code and to this should be appended a copy of the Kalkines warning signed by the student.















Excerpts or Summaries of Department and NWC Policies. Finally, there should be a statement referencing the various policies that govern the Academic Honor Code and plagiarism such as the Faculty Handbook, the course syllabus, additional guidance from the Department, or writing manuals, with the appropriate sections from those sources appended to the package

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Appendix G Dress Code Matrix

	Formal Functions* <i>Formal evening functions/dinners, military balls, State occasions</i>	Ceremonies/Official Engagements* <i>Parades, reviews, when special honors are rendered, official visits of dignitaries</i>	Business <i>Office work, informal social occasions</i>	Working <i>Daily attire (especially in an environment where soiling of clothing is expected)</i>
Civilian Men <i>(Determined by current fashion, local customs, and time/type of event)</i>	Formal Tuxedo with bow tie Semi-Formal Tuxedo or dark dinner jacket	Business (Professional) Business suit or sport coat and tie	Informal, Smart Casual or Business Casual Business suit, sport coat and trousers without tie (open collar)	Civilian Casual Slacks with open collar shirt or golf shirt, no sport coat
Civilian Women <i>(Determined by current fashion, local customs, and time/type of event)</i>	Formal Cocktail or evening gown Semi-Formal Long or short evening dress or evening trousers with a dressy top	Business Evening or cocktail attire, Sunday dress or business suit or pant suit	Informal, Smart Casual or Business Casual Business suit, simple skirt or dress, slacks with jacket, or pantsuit, low or flat shoes acceptable	Civilian Casual Slacks with blouse, Capri pants, sandals or flats
U. S. Army (AR 670-1)	Evening Mess, Blue Mess, or White Mess (only Blue Mess pictured)  Evening Mess is for white tie Blue Mess or White Mess is for black tie Army Service Uniform (ASU) 	Army Service Uniform (ASU)  Army Green Service Uniform (Roll-out scheduled for April 2020) 	Army Service Uniform "B" 	Operational Camouflage Pattern (OCP) 
U.S. Marine Corps (MCO 1020.34H) <i>Note: Some uniform variations for enlisted personnel are not pictured.</i>	Evening Dress "A"/"B" (Only "B" Dress pictured)  "A" is for white tie "B" is for black tie <i>(Note: Long black skirt must be worn for Evening Dress "A"; either long or short skirt may be worn for other evening dress uniforms, depending on degree of formality.)</i>	Blue Dress "A"/"B" (Year-round)  Blue-White Dress "A"/"B" (Summer)  "A" is with medals/"B" is with ribbons	Service "A"/"B"/"C"  Blue Dress "C"/"D" 	Combat Utility Uniform  <i>Woodland and Desert Marine Pattern</i>
U.S. Navy (NAVPERS 15665I) <i>Note: Some uniform variations for enlisted personnel are not pictured.</i>	Formal Dress  Dinner Dress Blue/White Jacket  Dinner Dress Blue/White 	Full Dress Blue/White  Service Dress Blue/White  Summer White (Summer) 	Service Khaki (Year-round) 	Naval Working Uniform Type III (NWU) 

This matrix is sourced from the Office of the Chairman of the Joint Staff Protocol Office. It is intended as a reference for civilian and military faculty in determining attire equivalents for various occasions and events at the Naval War College. (Table continued on next page).

	Formal Functions* <i>Formal evening functions/dinners, military balls, State occasions</i>	Ceremonies/Official Engagements* <i>Parades, reviews, when special honors are rendered, official visits of dignitaries</i>	Business <i>Office work, informal social occasions</i>	Working <i>Daily attire (especially in an environment where soiling of clothing is expected)</i>
U.S. Air Force (AFI 36-2903)	<p>Formal or Mess Dress (Only Mess Dress pictured)</p>  <p><i>Formal Dress is for white tie</i> <i>Mess Dress is for black tie</i></p> <p>Service Dress "A"</p> 	<p>Service Dress "A"</p> 	<p>Service Dress "B"</p>  	<p>Airmen Battle Uniform (ABU) (ABU wear is permissible until April 2021)</p>  <p>Operational Camouflage Pattern (OCP)</p> 
U.S. Space Force	To Be Determined			
U.S. Coast Guard (COMDTINST M1026.6F)	<p>Mess Dress Blue (Year-round)</p>  <p>Mess Dress White (Summer)</p> 	<p>Service Dress Blue (Year-round)</p>  <p>Service Dress White (Summer)</p> 	<p>Tropical Blue (Year-round)</p>  <p>Winter Dress Blue (Winter)</p> 	<p>Operational Dress Uniform (ODU)</p> 

Note: This matrix is intended to serve as a guideline for appropriate attire. Each service uniform regulation has specific guidelines for wear (see hyperlinks). Some uniforms are optional, seasonal, or required for specific pay grades only. Army Evening Mess, Army White Mess, Marine Evening Dress "A," and Air Force Formal Dress are not pictured. Uniforms may deviate depending on event and/or host/command direction.

Note: Invitations should delineate whether military guests are to be covered or uncovered. Headgear is identified in the service specific uniform instructions as the following:

Appendix H Campus Map





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

