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AND PRESIDENT AIR UNIVERSITY  
(AETC)**

**AIR UNIVERSITY INSTRUCTION**

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**Total Force Development**

**COMMAND, GOVERNANCE AND  
ADMINISTRATION POLICY**

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This instruction implements guidance from AFI 90-1401, *Air Force Federal Advisory Committee Management Program*; CJCSI 1800.01F, *Officer Professional Military Education Policy*; CJCSI 1805.01B, *Enlisted Professional Military Education Policy*; AFD 36-1, *Appropriated Funds Civilian Management and Administration*; AFD 36-26, *Total Force Development and Management*; AFI 33-332, *Air Force Privacy and Civil Liberties Program*; AFMAN 34-135, *Air Force Lodging and Air Force Laundry and Linen Exchange Programs*; AFI 36-116, *Civilian Faculty Personnel Management*; AFI 36-116\_AUSUP, *Civilian Faculty Personnel Management*; AFI 36-2670, *Total Force Development*; AFMAN 36-2806\_AETCSUP, *Awards and Memorialization Program*; AFMAN 36-2664, *Personnel Assessment Program*; AFI 99-107, *Test Pilot School*; AFH 36-2235V10, *Information for Designers of Instructional Systems Application to Education*; AFD 36-27, *Equal Opportunity*; and AFD 99-1, *Test and Evaluation*. It provides policy to support the academic administration structure across the University. Where certain authorities are delegated to the Centers and Schools, ultimate responsibility for programs remains with the Air University (AU) Commander and President (AU/CC). Conduct that violates **paragraph 4.5** by military personnel is a violation of Article 92, UCMJ; violations by civilian personnel may result in disciplinary or adverse action and/or civilian criminal or civil sanction. Compliance with Attachments to this publication is not mandatory. Submit suggested changes or corrections to the Office of Primary Responsibility (OPR) using AF Form 847, *Recommendation for Change of Publication*, through your chain of command. Ensure that all records created as a result of processes prescribed in this publication are maintained in accordance with AFI 33-322,

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### ***SUMMARY OF CHANGES***

This instruction has undergone substantial revisions and requires a thorough review. Major changes include (1) title change from "AU Operations" to "Command, Governance and Administration Policy", (2) new chapters added, (3) updated institutional planning model, (4) chapter reorganization, (5) updated source regulations, office symbols, processes, references, and responsibilities, and (6) revision to terminology. This instruction authorizes the execution of the AU Inspector General-led Commander's Mission Analysis and Review (CMAR) and clarifies the aim of program reviews, evaluation, and assessments.

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## Chapter 1

### COMMAND ROLES AND RESPONSIBILITIES

**1.1. Purpose.** Air University (AU) is a military institution with educational, training, scholarship, doctrine development, and officer accessions missions. As such, commanders, administrators, faculty, and staff are assigned specific roles and responsibilities to ensure effective mission execution. AU leaders solicit and incorporate perspectives and advice from the broadest range of stakeholders to accomplish the University's education focused mission sets.

#### **1.2. Roles and Responsibilities.**

##### 1.2.1. AU Commander and President (AU/CC):

1.2.1.1. Serves in a dual role as Commander and President (see [Chapter 2, Academic Administration](#)) and is nominated by the Secretary of Defense (SecDef) and confirmed by the Senate to execute educational programs to meet Department of Defense (DoD) and Department of the Air Force (DAF) needs.

1.2.1.2. Commands the full-spectrum of education, scholarship, research, and outreach at every level through professional military education (PME), industry and workplace credentialing programs, continuing education and academic degree-granting resident and nonresident military education programs supporting Total Force Development, and officer commissioning through Officer Training School (OTS) and the Reserve Officer Training Corps (ROTC).

1.2.1.3. Reports to the Commander, Air Education and Training Command (AETC) and serves as the AETC Director of Education.

1.2.1.4. Executes AU mission, leads, manages resources, and provides intent to subordinate commanders to ensure AU programs remain responsive to Joint, Air, and Space Forces need.

##### 1.2.2. AU Vice-Commander (AU/CV):

1.2.2.1. Serves in a dual role as AU/CV and Commander of the LeMay Center for Doctrine Development and Education. AU/CV shall assume and discharge all the responsibilities and duties of the AU/CC in the Commander's absence or disability, or when assigned to do so by the Commander. AU/CV shall assist the Commander in the discharge of the duties of his office and shall represent the Commander on all standing committees.

##### 1.2.3. AU Command Chief (AU/CCC):

1.2.3.1. Adviser to the Commander on matters affecting the professional development, education, health, welfare, morale, and employment of enlisted members assigned to over 1,300 locations around the world.

##### 1.2.4. AU Subordinate Commanders and Air Force Institute of Technology (AFIT) Director (AFIT/CL):

1.2.4.1. Responsible for aligning internal school policies and procedures with AU policies to achieve their units' missions effectively, efficiently, affordably, and sustainably, consistent with their assigned missions.

- 1.2.4.2. Accountable for all actions necessary to successfully complete their missions. This includes (but is not limited to) development and enforcement of academic standards and the quality of all educational programs and related research; recruiting, developing, and retaining qualified (military and civilian) faculty; and awarding academic rank as delegated.
- 1.2.4.3. Validate the quality of academic and leadership-development programs, teaching, faculty, assessment, scholarship, and resourcing across AU.
- 1.2.4.4. Are the supported Commanders for educational programs.
- 1.2.4.5. Work collaboratively with HQ to develop evidenced-based solutions for coordination and approval through the chain of command.
- 1.2.4.6. Execute assigned missions in accordance with Higher Headquarters (HHQ) level directives as appropriate for respective missions.
  - 1.2.4.7. Continuously improve assigned mission elements using evidence-based approaches followed by thorough documentation of changes made as a method of control to improve performance.
  - 1.2.4.8. Manage assigned resources in accordance with established processes and systems.
  - 1.2.4.9. Effectively lead and ensure good order and discipline, deliberate and methodical development, and quality of life for all assigned personnel.
- 1.2.5. University and HQ Staff (CAO, A3, DS, A1, A6, FM, and JA):
  - 1.2.5.1. AU Chief Academic Officer (AU/CAO) serves as the principal authority and primary interface for all instructional programs, teaching, curriculum, faculty management, scholarship, research, service and advises AU/CC for academic functions and educational programs. Develops policies and directs actions to support integration and synchronization of AU programs across the academic enterprise.
  - 1.2.5.2. Director of Operations (A3) serves as the principal advisor to the AU Commander and Vice Commander on all aspects of AU operations. Advises commandants, commanders, deans, and directors to facilitate execution of the AU mission.
  - 1.2.5.3. Director of Staff (DS) is the primary interface between external tasking agencies and AU Centers and Schools. In close coordination with AU/CAO and A3, the DS vectors issues to the HQ Staff, Centers, and Schools for coordination and advice and assigns tasks for action.
  - 1.2.5.4. Director, Manpower and Personnel (A1) serves as the primary advisor to the AU/CC, AU/CV, Center Commanders, and senior level staff on all manpower and personnel programs for AU.
  - 1.2.5.5. Chief Information Officer (A6) serves as the primary advisor to the AU/CC, senior level staff, and Schools for delivering secure and reliable IT capabilities in support of current education operations and AU's future information systems environment.
  - 1.2.5.6. Director, Financial Management (FM) serves as the primary advisor to the AU/CC (AETC Education Panel Chair), Center Commanders, and senior level staff on the current fiscal year (FY) and Future Year Defense Programming for AU.

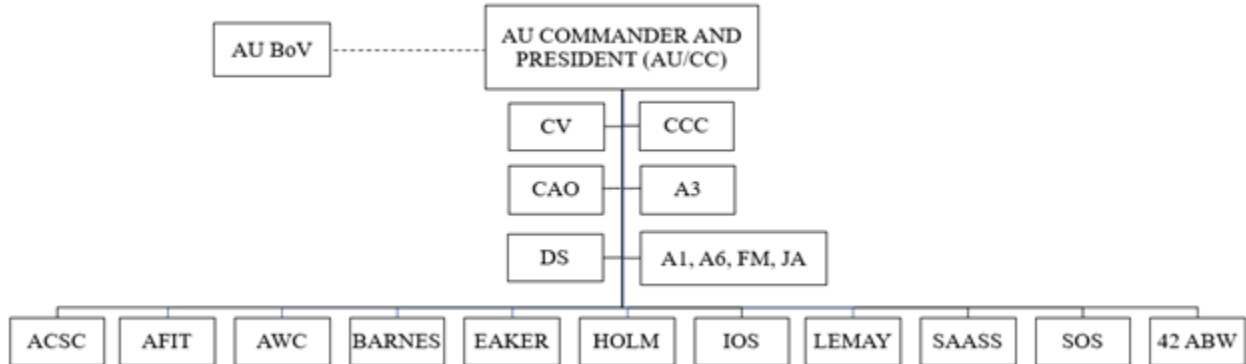


1.2.5.7. Legal Office (JA) advises the AU/CC and subordinate commanders on the application of law and policy as it relates to mission execution.

1.2.6. AU Board of Visitors (BoV): Provides SecAF independent advice and recommendations on matters pertaining to the educational, doctrinal, and research policies and activities of AU. Serves at the discretion of SecAF.

1.2.7. Command Organization Chart; see [Figure 1.1](#):

**Figure 1.1. Command Organization Chart.**



## Chapter 2

### ACADEMIC GOVERNANCE AND ADMINISTRATION

**2.1. Purpose.** Provide roles, responsibilities, and guidance on Academic Governance and Administration that advance the mission and values of AU. The AU/CC takes advantage of insights from these and other sources to assure accountability and instill continuous process improvement for all University components. Note: All supplemental instructions to this policy, including local instructions related to academic governance and administration, must be coordinated through AU/CC, AU/CAO and AU/OAA.

#### **2.2. Roles and Responsibilities.**

2.2.1. AU/CC empowers the AU/CAO, A3, and DS to oversee University Governance and Administration.

2.2.2. AU/CC delegates to the AU/CAO the authority to implement processes, procedures and assigned tasks required to ensure the quality of and produce evidence demonstrating the efficacy of every AU program. Commanders at all levels will use this evidence to make decisions concerning the execution and continuous improvements of their programs. Additionally, AU/CC directs AU/CAO to implement these processes, procedures, and tasks in a way that minimizes any additional work required to support JPME, institutional, or specialized accreditation.

2.2.2.1. Subordinate commanders are supported by the AU/CAO, A3, DS, and the HQ Staff and, in turn, collaborate with AU/CAO, A3, DS, and HQ Staff to ensure evidence-based decisions affecting the education and support programs are made.

2.2.2.2. AU/CC delegates to subordinate commanders and AFIT/CL the responsibility for administering this policy and executing all decisions of AU/CC requiring administrative action. In accordance with Special Order G-12-31 which activated Detachment 1 at Wright-Patterson AFB OH, the AU/CC authorizes AFIT/CL to delegate AFIT duties as assigned to the Air University Detachment 1 Commander, who will, in turn have authority to provide supervision of, and assign duties to, AFIT military and civilian personnel. This includes but is not limited to AFIT staff functions. AFIT/CL is also granted authority consistent with maintaining separate institutional (Higher Learning Commission, HLC) and specialized (Accrediting Board for Engineering and Technology, ABET) accreditation. AFIT/CL will ensure that AU/CC, AU/CAO, and relevant AU staff entities are routinely informed of all matters relating to accreditation status and academic administration.

2.2.2.2.1. Initiatives involving academic administration, which includes, but not limited to, curriculum design, development and delivery, faculty, scholarship, research, service, and accreditation, require a pre-decisional brief to the AU/CAO and directed members of the AU staff before moving forward.

2.2.2.3. AFIT/CL is responsible for developing and implementing an AFIT Supplement to this instruction, with the advice of AFIT Chief Academic Officer (AFIT/CAO) and coordinated through the AU staff, that reflects appropriate AFIT-specific procedures and responsible offices for achieving the intended outcomes. The AFIT Supplement will include procedures for advising the AU CAO of AFIT's academic affairs, and provide for

furnishing data, reports and other information on AFIT's operations to the HQ AU staff as required.

### **2.3. Institutional Mission.**

2.3.1. AU Mission: Educate and develop Air, Space, and Cyberspace warrior-leaders in support of the National Defense Strategy (NDS).

2.3.2. The institutional mission statement defines the University overarching purpose and provides the context for subordinate components to develop their programs. The mission statement must be clearly defined, comprehensive, published, and appropriate to higher education institutions. The mission statement must address teaching, learning, research, and outreach in the context of a Federal degree-granting institution.

2.3.3. AU Vision: The intellectual and leadership-development center of the Air and Space Forces.

2.3.4. AU/CAO oversees military education's core functions including curriculum, teaching, scholarship, research, and services, and manages the development and execution of processes to ensure mission accomplishment. These processes are:

2.3.4.1. Strategic level measurable outcomes with key assessments and associated metrics.

2.3.4.2. Systematic review of the institutional mission, vision, and goals.

2.3.4.3. Facilitate an institutional quality and continuous improvement process which includes key assessment data and associated criteria.

2.3.5. AU/CC, AU/CAO, A3, and AU and AFIT staff will conduct a periodic review of the AU mission statement and strategic plan to ensure they are current, relevant, and comprehensive.

2.3.5.1. The mission statement must be published and available to the public.

2.3.6. The United States Air Force (USAF) employs the wing structure at each installation to provide administrative and support services for a variety of missions. The 42d Air Base Wing (ABW) is the host wing of Maxwell/Gunter programs and is fully integrated as a support agent for AU programs. The 88 ABW is the host wing for Wright-Patterson AFB and provides support for AFIT programs.

### **2.4. Institutional Planning and Effectiveness.**

2.4.1. Institutional planning and effectiveness is the systematic, explicit, and documented process of measuring performance to determine how well AU is fulfilling its mission for continuous improvement of programs, administrative services, and educational support services, all of which broadly informs University-level activities.

2.4.1.1. AU will engage in ongoing integrated practices designed to drive an evidence-based evaluation process that:

2.4.1.1.1. Includes a systematic review of institutional mission, goals and achievements.

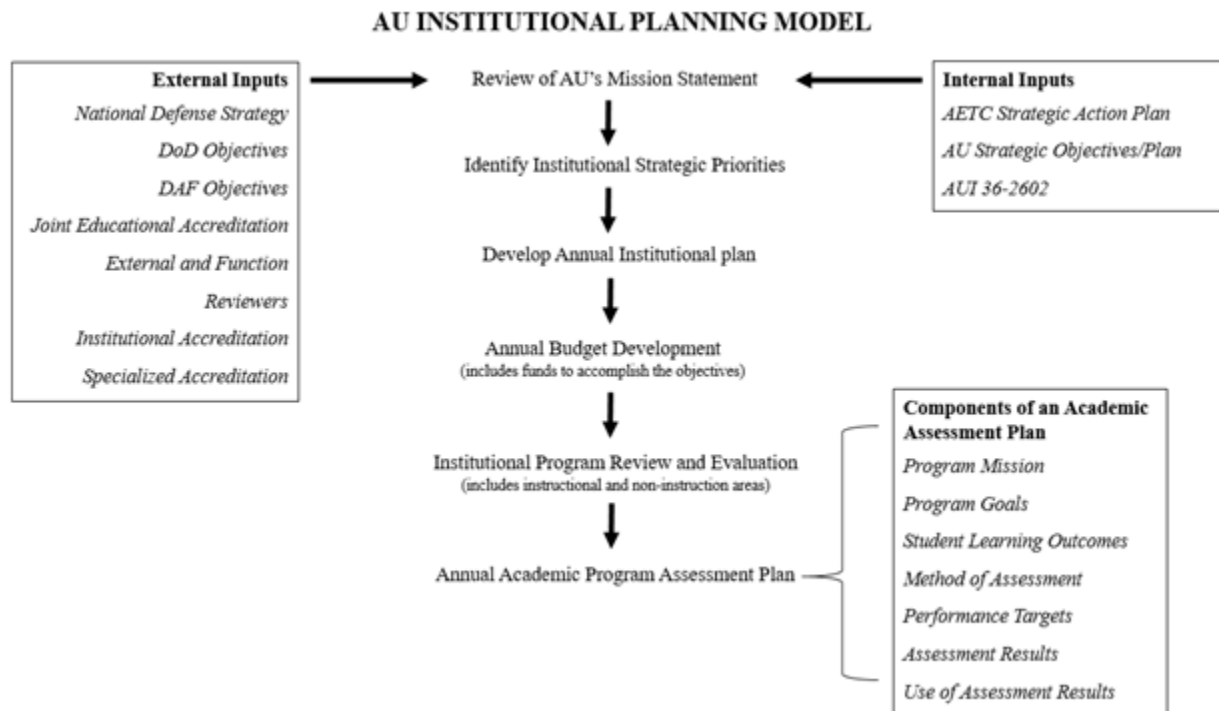
2.4.1.1.2. Results in continuous improvement, strategic-planning and decision-making at all levels.

2.4.1.1.3. Demonstrates the institution is effectively accomplishing its mission.

2.4.1.1.4. Fosters a culture of data-informed decision-making and teaching and learning innovations.

2.4.1.2. The planning model is a multi-faceted approach that uses external and internal inputs to assess AU's mission and strategic goals and Centers/Schools assessment plans, operational plans, and closing the loop process. **Figure 2.1** illustrates AU's institutional planning processes related to one another.

**Figure 2.1. AU Institutional Planning Model.**



2.4.1.3. One of the mechanisms to drive evidence-based evaluation at AU is the Institutional Program Review and Evaluation Model. As depicted in the AU Institutional Planning Model (**Figure 2.1**), the Institutional Program Review model is a systematic approach to assess the alignment of instructional and non-instructional programs and services to AU mission outcomes. (See **Chapter 9** for more information about the Institutional Program Review and Evaluation Model.)

2.4.1.4. An additional and underlying function of the Institutional Planning and Effectiveness process is the Planning Programming Budgeting and Execution Process. The Program Objective Memorandum (POM) is a recommendation from the Services and Defense Agencies to the Office of the Secretary of Defense (OSD) concerning how to allocate resources (funding) for a program(s) to meet the Service Program Guidance (SPG) and Defense Planning Guidance (DPG).

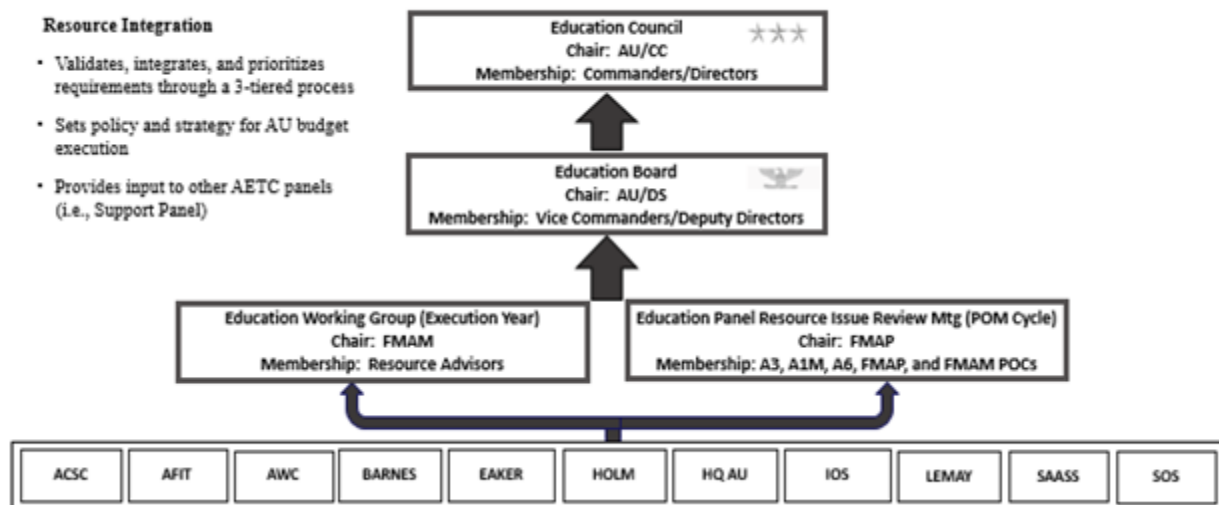
2.4.1.4.1. The Execution Plan is the current year funding plan summarizing the planned spending based on allocated funding for all AU entities during the current year of operation. Air University's future resource inputs and requests are aligned to AU's

strategic plans and submitted through AETC to the AF for inclusion in the President’s Budget. The POM process guides the Future Years Defense Plan (FYDP) planned execution of allocated resources and ensures continued adequacy and stability of financial resources to support AU’s education mission.

2.4.1.4.2. AU’s financial and resource management organizational review and approval consist of a three-tiered deliberate process used to make quality and informed financial/resourcing decisions. The AU Corporate Structure sets financial/resourcing strategy and validates, integrates, and prioritizes requirements.

2.4.1.4.3. The three tiers/levels of the AU Corporate Structure (**Figure 2.2**) consist of: Working Group (Execution Year)/Resource Issue Review Meeting (POM), Board, and Council. Note: The first tier for Execution Year decision making is the Working Group and first tier for the POM is Resource Issue Review Meeting. The Execution Year and POM have a Board and Council.

**Figure 2.2. AU Corporate Structure.**



- Resource Integration**
- Validates, integrates, and prioritizes requirements through a 3-tiered process
  - Sets policy and strategy for AU budget execution
  - Provides input to other AETC panels (i.e., Support Panel)

2.4.1.4.4. The AU Working Group is chaired by the Financial Management Integration (FMAM) Branch Chief and its membership consists of Resource Advisors from AU organizations and directorate representatives. The POM Resource Issue Review Meeting is chaired by the Financial Management Programs (FMAP) Branch Chief and its membership consists of Resource Issue POCs from AU organizations and directorate representatives. The Working Group and Resource Issue Review Meeting forward recommendations to the AU Board.

2.4.1.4.5. The AU Board is chaired by the DS and its membership consists of Vice Commanders from AU organizations and directorate representatives. The AU Board forwards recommendations to the AU Council.

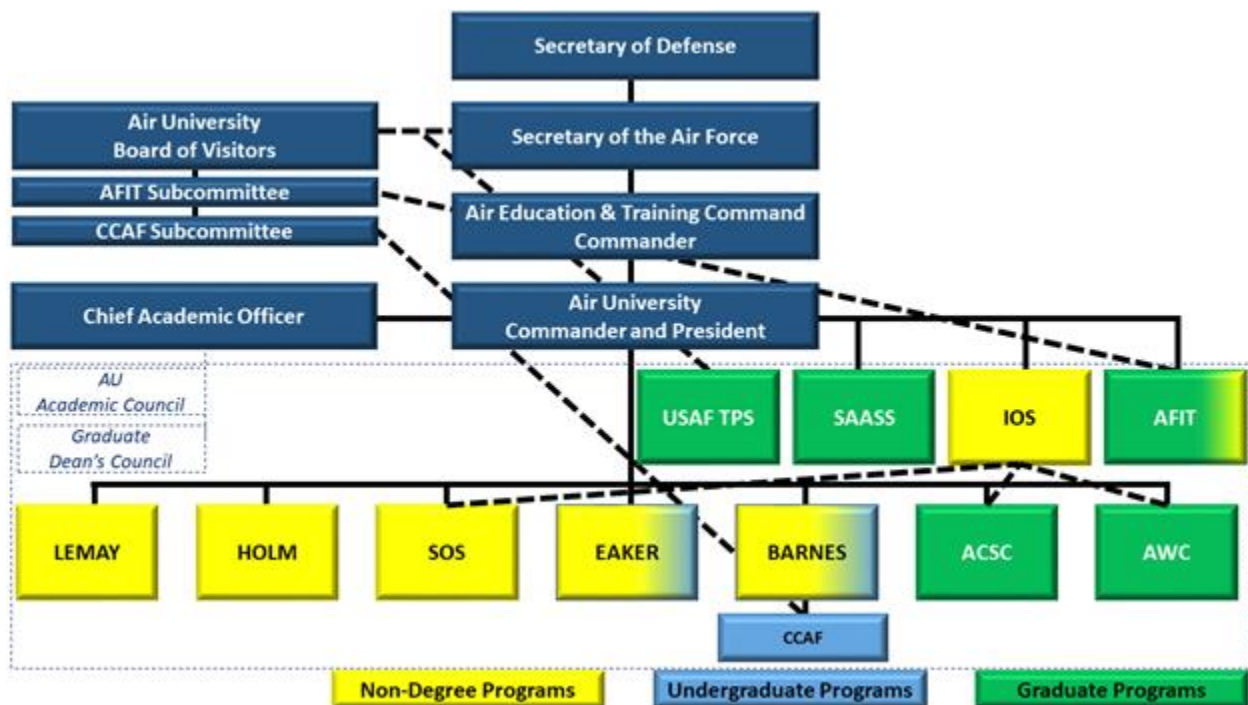
2.4.1.4.6. The AU Council is chaired by the AU/CC and its membership consists of Commanders from AU organizations and AU Directors. As the AU Council Chairman, AU/CC is the approval authority for all recommendations. Approved AU/CC recommendations are forwarded to AETC for adjudication, as required.

2.4.1.4.7. Manpower Utilization Board: University-level review of manpower surpluses and shortages as it relates to the various initiatives impacting AU. AU/A1 conducts the review and schedules meetings with the administrative staff and Centers/Schools personnel to ensure emerging missions are resourced. Potential areas for review include: Faculty, Staff, Authorized/Filled Military/Civilian-surplus, deficits, gaps, and non-AF and DAF.

## 2.5. Academic Governance.

2.5.1. AU Governance Structure (**Figure 2.3**) depicts the structural framework command, advisory boards, administrative functions, Centers, and Schools that oversee and shape mission execution.

**Figure 2.3. AU Governance Structure.**



2.5.2. Unlike most civilian institutions' mission to provide students with the opportunities to earn degrees and other credentials, AU develops programs to meet military requirements. Because of their quality, focus, and alignment with force development goals, some of AU's programs may result in degrees.

2.5.3. AU Academic governance is the framework of policies, supporting and supported structures, relationships, systems, and processes that collectively provide leadership to and oversight of AU's academic activities (teaching, learning and scholarship, and research) at an institutional level. In the case of AU (which is a military organization with an academic mission), the collective oversight of academic activities is exercised through a combination of the command chain, the academic and programmatic administrative staff, and a variety of other structures (e.g., Academic Councils, faculty senate, teaching and learning committees or ad hoc committees) with a single advisory body and associated subcommittees for the AFIT and Community College of the Air Force (CCAF).

2.5.4. The AU/CC intends for subordinate commanders to have the authority and flexibility they require to accomplish their designated missions, which includes maintaining accreditations that support the Air Force mission. Additionally, subordinate command policies and procedures should clearly describe the means used to assess academic mission performance and the controls to improve student achievement. This includes, but is not limited to development and enforcement of academic standards and the quality of all educational programs and related research; recruiting, developing and retaining qualified military and civilian faculty; and awarding promotions in academic rank as delegated as prescribed in this Instruction.

2.5.4.1. The AU/CC also intends for the AU/CAO, A3, and AU staff to operate University-level functions to assure the quality, integrity, and rigor of AU programs.

2.5.4.2. AU/CAO, A3, and AU staff will work collectively with subordinate commanders and AFIT/CL in a shared governance construct to balance decentralized execution, rapid innovation, and compliance with stakeholders' and HHQ requirements.

#### 2.5.5. **Shared Governance.**

2.5.5.1. Shared academic governance informs functional staffing processes and provides inputs into educational decision-making processes.

2.5.5.1.1. Allows for decisions at the lowest possible level placing the responsibility, authority, and accountability for practice-related decisions into the hands of the individuals who will operationalize the decision. However, in all cases, those decisions having an impact beyond a single Center or School must be elevated to the University-level.

2.5.5.1.2. Requires HQ Staff to provide complete fact-based evidence on issues that support academic decisions including, but not limited to: prioritization of resources; recruiting, developing, and retaining faculty; enterprise information technology (IT) solutions; organizational structure, processes, and procedures; instructional methodologies and practices; curriculum integration and requirements; student services and support; and issues involving external stakeholders, as applicable.

## 2.6. **Governance Structures.**

2.6.1. **Commander's Stand-up Meeting.** The AU/CC chairs the weekly meeting comprised of the Center Commanders, School Commandants, Directors, senior members of the AU staff, the President of the Faculty Senate, and the 42 ABW/CC. The AU/CC will invite other faculty and staff as required to participate in the discussions. The purpose of the meeting is to ensure shared situational awareness of Command Level issues, initiatives, HHQ focus areas impacting AU, and serve as a platform for problem assignment and resolution. The AU Commander's Action Group (CAG) schedules and administers stand-up meetings on behalf of the chair and provides agendas and read-aheads.

2.6.2. **AU Board of Visitors (BoV) Meeting** . The BoV meets semi-annually and is comprised of an independent body of advisors to provide advice on educational, doctrinal, and research policy matters. The AU/CAO Advisory Board Chair schedules and administers the meetings on behalf of the AU/CC and provides agendas, read-aheads, and official minutes. (See [Chapter 3](#) for more information about the AU BoV.)



2.6.3. **Academic Council.** The AU Academic Council is the advisory body for all educational matters across the University. The AU/CAO chairs the Council comprised of academic program coordinators such as provost, deans, education advisors or equivalents, of educational programs that report directly to AU, and the Vice President of the Faculty Senate. The AU/CAO will invite other faculty and staff as required to participate in the discussions.

2.6.3.1. **Graduate Deans' Council.** This is a working group focused on officer education programs at the Maxwell Campus. The AU/CAO chairs this working group (WG) comprised of the deans (or equivalents) of Air War College (AWC), Air Command and Staff College (ACSC), International Officer School (IOS), School of Advanced Air and Space Studies (SAASS), Squadron Officer School (SOS), Global College of Professional Military Education, and a representative from the Faculty Senate. The AWC/CV is also a member representing Blue Horizons and the Academic Centers. Members of the AU staff, Maxwell-based unit leaders, and others are invited as necessary.

2.6.3.2. The AU Office of Academic Affairs (AU/OAA) schedules and administers the Officer Education Deans' Council meetings and provides agendas, read-aheads, and official minutes.

2.6.4. **Faculty Senate.** The Faculty Senate is an advisory body for the components of the Academic Administration structure. Additional details regarding the Faculty Senate are found in [Chapter 3](#), Advisory Bodies.

2.6.5. **AU Fellows Council.** The AU Fellows Council serves as the forum to elicit feedback from the Fellows, provide guidance and input from Commanders/Commandants, ensure program execution is consistent across schools/programs, and develop recommendations for improvement. The Council meets quarterly, is chaired by the AU/CAO and is organized by the AU Fellows Program Manager.

2.6.6. **AU Diversity and Inclusion (D&I) Council.** The AU D&I Council serves as an advisory body that supports and addresses the development and implementation of diversity, equity, and inclusion policies, practices and educational programs. The Council is comprised of military and/or civilian representatives from across AU enterprise and championed by AU/CAO and AU/CAA.

2.6.7. **CCAF Affiliated Schools Advisory Panel (ASAP).** The ASAP provides a forum for addressing issues of mutual concern to both CCAF and affiliated schools. The ASAP meets annually to review policies, procedures, affiliation requirements, and actions that concern CCAF affiliated schools. The ASAP consists of representatives from the CCAF staff; formal technical and specialized training schools; Enlisted Professional Military Education (EPME) schools; command-sponsored schools; HQ AETC; and Title 10 representatives from the Air Force Reserve Command (AFRC) and Air National Guard (ANG).

2.6.8. **CCAF Education Services Advisory Panel (ESAP).** The ESAP provides a forum for addressing issues of mutual concern to both CCAF and the USAF education services community. The ESAP meets annually to review and recommend actions concerning CCAF academic policies, administrative procedures, and processes. Its primary focus when making recommendations is the student body. The ESAP advises the CCAF Commandant on issues of concern to students, education services, and AFRC and ANG training personnel; reviews CCAF academic policies and administrative procedures that affect off-campus Education and



Training Staff (E&TS), and advises the CCAF Commandant on marketing methods that will enhance participation in the college. The ESAP consists of representatives from the CCAF staff, HQ USAF, major commands (MAJCOMs), base-level E&TS, and Title 10 AFRC and ANG participants.

**2.6.9. CCAF Policy Council.** Academic policies are developed by the Policy Council and endorsed by the AU BoV and AU senior leadership. The CCAF Policy Council is composed of representatives from all elements of the CCAF system. Chaired by the CCAF Dean of Academic Affairs, the policy council submits recommendations concerning academic policies, Associates of Applied Science (AAS) degree programs, award of credit, academic standards, affiliation of Air Force schools, and other policy matters through the CCAF Commandant to the AU BoV CCAF Subcommittee for guidance and synchronization.

**2.6.10. AU President and Academic Staff Meeting.** The AU/CC chairs the quarterly meeting comprised of the senior members of the AU Academic staff. AU/CC will invite other faculty and staff as required to participate in the discussions. AFIT will participate as needed. The purpose of the meeting is to ensure a shared situational awareness of academic and administrative-related issues impacting governance, accreditation, policy, and problem resolution and decision-making.

**2.6.11. Working Groups (WGs).**

2.6.11.1. University-level WGs can be created to address issues that involve multiple AU organizations. The Office of Primary Responsibility (OPR) for University-level WGs resides at the University level, led by the AU/CAO and A3 and/or HQ staff directorate. Examples of WG focus areas include, but are not limited to, institutional effectiveness, educational technology, curriculum management, grievances, academic promotions, faculty affairs, community projects, academic integrity, academic freedom, and diversity, equity, and inclusion.

2.6.11.2. Established WGs will have a formal charter (see [Attachment 2](#)) approved by the AU/CAO and/or A3, which designates the WG chair, the purpose, meeting frequency, membership, milestones, and required outcomes of the group, to include how recommendations will be addressed. WGs will establish schedules for reporting progress towards project completion to the appropriate Council. The WG chair will publish meeting minutes and make them available to members, AU/CAO, and A3.

2.6.11.3. Learning Technology Working Group. The LTWG is AU's enterprise learning technology (LT) working group that champions emerging campus-wide technology initiatives and projects to support educational programs. The LTWG is responsible for reviewing and assessing downward directed and upward-requested LT capability requirements, providing recommendations according to the attached AU Capability Development Lifecycle Process (CDLP) Flow, and forms sub-committees as needed. Upon LTWG approval, the recommendations are submitted and briefed to AU leadership for final approval, funding, and AU-wide implementation. Furthermore, the LTWG provides an environment for collaboration between AU Centers/Schools, other staff agencies and AU/A6 to validate requirements, synchronize activities, and prioritize resources to fulfill AU strategic objectives.

**2.6.12. AU Crisis Action Team (CAT).**

2.6.12.1. The AU/CC or designee activates the AU CAT to focus on AU educational mission execution during unusual circumstances. Actions of the AU CAT and the 42 ABW CAT are de-conflicted by their purpose: the AU CAT focuses solely on execution of AU education and doctrine missions while the 42 ABW CAT is responsible for contingency management and other missions as described in AFI 10-2501\_MAXWELLAFBSUP, *Air Force Emergency Management Program*, and Maxwell AFB 10-25, *Installation Emergency Management Plan (IEMP)*.

2.6.12.1.1. The AU/CC adapts membership of the CAT to meet the circumstances necessitating its formation. A fully-formed CAT includes CC/CV/CCC, AU/CAO, A3, DS, a representative from each headquarters staff element and the commanders or commandants of all organizations that report directly to AU/CC.

2.6.12.1.2. The AU/CC directs DS to initiate a CAT recall, specifying which members are to report if the circumstances require something less than a fully-formed CAT. DS recalls the required membership, noting the time and location for the CAT to assemble.

2.6.12.1.3. The primary CAT assembly location is the AU Conference Room, Building 800. The CAT's alternate location is 42 ABW Conference Room, Building 804. Some or all participants may participate virtually in lieu of a physical meeting. AU/CCE/CCA/CCX and Lemay/CCE serve as the CAT support staff and will be recalled at DS discretion. DS will recall other subject matter experts as circumstances dictate.

2.6.12.1.4. Either DS, A3 or AU/CAO will present the initial CAT briefing depending on the situation. The initial briefing will describe the circumstances that necessitated the CAT formation and present the desired outcome of the CAT's deliberations. At the conclusion of the initial CAT meeting, DS will recap any assigned tasks and note the time and place of the next CAT meeting (if required).

## 2.7. Governance Processes.

2.7.1. **Institutional Program Review and Evaluation.** The purpose of an institutional program review and evaluation is to guide the development of educational programs on a continuous basis. This evaluation process measures the status, effectiveness, and progress of educational programs and helps identify the future direction, needs, and priorities of those programs. It is connected to strategic planning, resource allocation, and other decision-making at all levels.

2.8. **Governance Systems.** Systems integration is the key to academic administration and provides data flow that informs the decision-making processes at the program, school, center, college, and University levels. Consequently, the following systems/tools are mandated for use by all AU schools, programs and courses:

2.8.1. AU Student Information System (AUSIS): A comprehensive student life cycle system to support the application, admission, enrollment, completions, graduations, course offerings database, learning records, transcripts and demographic data, etc., as AU's official system of record for education/academic data.

2.8.2. AU Institutional Management System (AUIMS): A comprehensive accreditation and accountability management system to support learning outcomes assessment, program

assessment, evaluation, planning, faculty development, and faculty qualifications through a rich set of tools for students and faculty to enhance teaching and learning, as well as make our assessment and accountability tasks easier.

2.8.3. AU Learning Management System (AULMS): A comprehensive learning and learning environment management system to support design, delivery, administration, documentation, tracking, reporting, automation, and delivery of educational courses, training programs, or learning and development programs.

2.8.4. Task Management System (TMT): Used to track, manage, and coordinate projects, actions, policies, etc.

2.8.5. AU Online Survey Tool (AUOST): A comprehensive data collection, analysis, and reporting system to support the design and delivery of survey instruments (polls, surveys, interviews, etc.), collection of instrument data, analysis of data (quantitative, qualitative-textual), and reporting of data by researchers, faculty, programs, and Centers/Schools.

2.8.6. AU Microsoft 365 (AU M365): A cloud-based suite of tools to support faculty, staff, students, AU mission partners, and select guests in communication, collaboration, and engagement.

2.8.7. AFIT operates an educational enclave network separate and distinct from the AFNET with Authorization to Operate granted by AETC. In order to accommodate this, AFIT/CL is delegated the flexibility to execute IT operations to meet AFIT mission needs. AFIT and AU/A6 shall coordinate to ensure enterprise scoped IT capabilities follow AU's Capability Development Lifecycle Process (CDLP) as outlined in AUGM2017-17-01.

## **2.9. Authority and Policy.**

### **2.9.1. Degree Granting Authority.**

2.9.1.1. 10 U.S.C. § 9414, § 9415, and § 9417 provide AU/CC the authority to grant degrees appropriate to meet DAF missions that are not adequately delivered by civilian institutions.

2.9.1.2. Prior to establishing new degrees or initiating substantive changes to approved programs, the University must obtain approval from the appropriate institutional and specialized accreditors and the Department of Education's National Advisory Committee on Institutional Quality and Integrity (NACIQI). Additionally, the DoD requires the University to notify the Under Secretary of Defense for Personnel and Readiness (USD (P&R)) upon receiving approval from NACIQI. USD (P&R) is responsible for notifying the House and Senate Armed Services Committees of changes to DoD degree programs.

### **2.9.2. Institutional and Specialized Accreditation.**

2.9.2.1. Federal degree-granting institutions must be accredited by an appropriate civilian academic accrediting agency. AU is accredited through the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC). SACSCOC accredits an entire institution, and accreditation extends to all programs and services of AU enterprise wherever located and however delivered. SACSCOC does not accredit individual programs, locations, or portions of an institution. SACSCOC and the Higher Learning Commission (HLC) have both determined that it is appropriate to maintain a separate accreditation for AFIT through HLC.

2.9.2.2. AU maintains specialized academic accreditation in accordance with mission requirements and DAF needs. Programs accredited through specialized accrediting agencies will coordinate with AU/CAO or AFIT/CAO as applicable to ensure compliance with all accreditation requirements.

2.9.2.3. The Chairman of the Joint Chiefs of Staff (CJCS) certifies Joint Professional Military Education (JPME) programs for JPME Phase I and Phase II credit. For the DAF, AWC resident program awards JPME Phase II credit, and ACSC resident and non-resident programs award JPME Phase I credit.

### **2.9.3. Non-Degree Programs and Requirements.**

2.9.3.1. HHQ establishes requirements and programs for functional and professional development through continuing education and PME. AU Chief of Academic Officer (AU/CAO) and AU Chief of Academic Affairs (CAA) coordinates those requirements with HHQ, functional sponsors, and faculty and staff to develop curricula that meets Air Force human capital developmental objectives. AFIT processes for establishing requirements and programs are described in the AFIT Supplement to this instruction.

### **2.9.4. Personnel Appointments and Evaluations.**

2.9.4.1. AU employs appropriately qualified military and civilian faculty and staff. Military personnel are assigned through the Air Force Personnel Center (AFPC) and other Service personnel agencies in accordance with human capital management policies. A portion of the civilian workforce is governed under Title 5 U.S.C. which requires open competitive appointments based on established job descriptions. Title 10 U.S.C. provides the AU/CC the authority to hire civilian faculty members to support certain programs. These specialized positions are filled through competitive processes established in AFI 36-116 as supplemented locally. AU/CAO, A1, JA, and 42 ABW provide personnel support and counsel to the AU/CC.

2.9.4.2. The University assigns responsibility to certain positions for educational program coordination (e.g., Deans and Program Directors). The University may fill these positions using qualified military or civilian faculty members. When employing civilians, AU may fill these positions with temporary assignments, or choose to fill them competitively. Individuals assigned to such positions must possess the credentials and expertise appropriate to the duties and responsibilities associated with their positions.

2.9.4.3. Air Force policies require supervisors to provide regular documented feedback and annual written evaluations of employee effectiveness. Commanders and Commandants will ensure that all assigned personnel receive feedback/evaluations as prescribed in Air Force policies. Staff and faculty will receive feedback on performance and an objective assessment of their contributions to the University's mission.

### **2.9.5. Substantive Change.**

2.9.5.1. The Department of Education requires institutional accreditors to establish policies for monitoring and approving substantive changes affecting educational programs. Aside from being a requirement, this is considered a best practice among institutions of higher learning. Institutions must ensure the quality and rigor of a program by basing decisions to change curriculum or other aspects of the program on data provided through

institutional effectiveness and assessment processes. The Department of Education's policy is governed by 34 CFR § 602. SACSCOC and HLC implement this policy through their published substantive change policy and their principles of accreditation. The CJCS establishes substantive change policies in CJCSI 1800.01, *Officer Professional Military Education Policy*, and CJCSI 1805.01B, *Enlisted Professional Military Education Policy*, for joint officer and enlisted education programs respectively. Institutions are required to seek approval before initiating changes that cross established thresholds for substantive changes.

2.9.5.2. A substantive change is defined as a significant modification or expansion of the nature and scope of an accredited institution.

2.9.5.3. Modification of school or center educational program requires concurrence and approval through the AU/CAO. The determination of whether a change crosses the threshold to require a substantive change notification remains with AU/CC. AFIT processes for educational program modifications are described in the AFIT Supplement to this instruction and aligns with AU/CC's oversight authority.

## Chapter 3

### GOVERNANCE BOARD AND FACULTY ADVISORY COUNCIL

**3.1. Purpose.** To define role and responsibilities of the AU BoV and Faculty Senate.

**3.2. Roles and Responsibilities.**

3.2.1. AU BoV.

3.2.1.1. The AU BoV (hereafter referred to as “the BoV”) provides independent advice and recommendations on educational, doctrinal, and research policy matters. See [Figure 2.3](#) for the AU Governance Structure.

3.2.1.2. The Federal Advisory Committee Act (FACA) of 1972 (5 U.S.C.) authorizes the Secretary of Defense (SecDef) and Deputy Secretary of Defense (Dep SecDef), to establish advisory boards for DoD organizations. The Board operates in accordance with FACA as implemented in the Code of Federal Regulations and DoDI 5105.4, *Department of Defense Federal Advisory Committee Management Program*, as supplemented by the Air Force.

3.2.1.2.1. The BoV in accordance with FACA, DoDI 5105.4 and AFI 90-1401 has been chartered by the DoD. The Board in consultation with AU/CC and the SecAF has established the Board by-laws to operationalize board membership, governance, administration, and responsibilities.

3.2.1.2.2. The BoV serves solely as an advisory body to the SecAF on AU’s educational programs, doctrine development, and research policies and activities.

3.2.1.2.3. The AU/CAO will identify a staff member who will serve as the Designated Federal Official (DFO) to coordinate board activities and assure compliance with FACA.

3.2.1.3. The BoV comprises individuals with significant professional expertise relevant to educational programs of the institution nominated by faculty, staff, and senior Air Force leaders.

3.2.1.3.1. The BoV members are Special Government Employees (SGEs). As such, they are required to submit an OGE Form 450, “*Executive Branch Confidential Financial Disclosure Report*” (prescribed by Title 5 CFR, “*Administrative Personnel*”, Part 2634, “*Executive Branch Financial Disclosure, Qualified Trusts, and Certificates of Divesture*”, Subpart I, “*Confidential Financial Disclosure Reports*”).

3.2.1.3.2. AU/JA reviews OGE Forms 450 and provides counseling and/or interpretation, as necessary, to federal advisory committee members, maintains completed OGE Forms 450, and provides SAF/GC with memo that serves to identify foreseeable conflicts of interests.

3.2.1.3.3. AU/JA tracks completion of initial and annual ethics training for BoV members.

3.2.1.4. The number of members on the BoV is determined by the Office of the Secretary of Defense (OSD).

3.2.1.5. The BoV has a Chair and Vice Chair, who are nominated by the BoV members and approved by the SecAF.

3.2.1.6. Neither the Chair, Vice Chair, nor majority of BoV members, may be civilian employees of the government or active or retired military.

3.2.1.7. The senior-ranking retired military member of the BoV will serve as an advisor to the Chair on military-related matters.

3.2.1.8. The BoV is not controlled by a minority of BoV members or by organizations or interests separate from the Board, except as specified by the authorizing legislation.

3.2.1.8.1. BoV members provide advice without representing external stakeholders' points of view, either expressed individually or collectively. The members provide their best judgment in a manner that is free from conflict of interest.

3.2.1.8.2. BoV members are free from undue influence from political, religious, or other external bodies and protects the institution from such influence.

3.2.1.8.3. The presiding officers of the BoV and a majority of other voting board members are free of any contractual, employment, or personal or familial financial interest in the institution.

3.2.1.9. The BoV has been authorized to establish standing committees and *ad hoc* working groups in consultation with AU/CC to examine specific aspects of the University as required. These *ad hoc* working groups will typically stand down upon completion of their assignments. The SecAF has approved the following standing subcommittees:

3.2.1.9.1. The AFIT Subcommittee serves as the advisory board for AFIT. This satisfies the HLC requirement for board oversight for AFIT's separate accreditation with HLC. This subcommittee advises the BoV on matters related to the educational programs at AFIT.

3.2.1.9.2. The CCAF Subcommittee advises the Board on matters related to programs comprising the CCAF system.

3.2.1.10. The BoV is accountable to the SecDef to provide independent advice to the SecAF on AU policies and activities to include constructive recommendations that support institutional goals and educational programs.

3.2.1.10.1. The BoV periodically reviews and evaluates the overall mission, educational program effectiveness, financial status, and support activities of the University.

3.2.1.10.2. The BoV periodically reviews and evaluates the published statement of purpose, institutional policies, and financial resources of the University. The BoV's responsibility is for policy and fiscal viability, not daily operations. These are entrusted to administrative and faculty leaders of the University.

3.2.1.10.3. The BoV periodically reviews and evaluates the educational effectiveness; quality of student learning; administrative and educational support services; and teaching, research, and public service of the University.

3.2.1.10.4. The BoV periodically provides the AU/CC feedback on the effectiveness of the leadership of the University.

3.2.1.10.5. The BoV members may resign at any time, may be removed for not attending three consecutive meetings, or maybe removed for cause.

### 3.2.2. AU Faculty Senate.

3.2.2.1. The AU Faculty Senate is an integral part of the shared governance of the University. AFIT has additional shared governance and academic administration processes required for HLC accreditation described in the AFIT Supplement to this instruction. The Senate advises AU/CC and other senior leaders on matters of faculty concern. Faculty members chosen to serve on the Faculty Senate provide a highly valued service to the institution.

3.2.2.2. The Faculty Senate provides the AU/CC advice from an independent University-wide faculty perspective.

3.2.2.2.1. The AU Faculty Senate will be represented in the Academic Administration structure.

3.2.2.2.2. Participation in the Faculty Senate is voluntary and does not constitute an administrative duty, nor do participants receive additional compensation.

3.2.2.3. Represents all AU faculty members.

3.2.2.4. Fosters an open communication environment and understanding across academic disciplines and schools through analysis of current issues and collegial debate.

3.2.2.5. Discusses with and offers recommendations to the AU/CC on academic matters that affect the institution.

3.2.2.6. Participates in the Academic Administration structure's decision-making bodies, including the AU Commander's Stand-up Meeting, Academic Council, and Officer Education Deans' Council.

3.2.2.7. Solicits nominations from the AU community and provides recommendations for AU Honorary Degrees to AU/CAO.

3.2.2.8. Attends educational program reviews for the schools to which they are assigned.

3.2.2.9. Meets periodically with the AU/CC and AU/CAO to discuss topics of interest and provide advice to the AU/CC for consideration. These are closed meetings with the AU/CC and/or AU/CAO.

3.2.2.10. Meets with the Board of Visitors during regularly scheduled meetings.

3.2.2.11. Maintains Faculty Senate By-laws to operationalize Faculty Senate governance and membership. The Senate may form subcommittees, as necessary, to address specific issues.

3.2.2.12. Conducts other activities essential to the successful pursuit of high-quality education in the context of the University's mission.



3.2.2.13. Persons eligible to become members of this body include full-time military or civilian faculty members assigned to educational programs at the Maxwell-Gunter and Wright-Patterson campuses.

3.2.2.13.1. Faculty members must be assigned to a specific school or organization whose *primary* duties are consistent with those defined in [paragraph 5.5](#).

3.2.2.13.2. Faculty members in supervisory positions (e.g., Dean, Department Chair, etc.) are not eligible. Non-supervisory administrative faculty are eligible.

3.2.2.13.3. Contingent faculty members are not eligible.

3.2.2.13.4. The term of membership is one year. Terms begin on 1 September and end 31 August of the following year. Members may be selected to serve a maximum of three consecutive terms. At least one year must elapse after the third term before a member may be selected to serve again.

3.2.2.13.5. Two Senators will be selected from each of the organizations listed below. Programs that deliver resident and distance learning (DL) programs will select one additional member to represent DL faculty for a maximum of three Senators.

3.2.2.13.5.1. ACSC – Resident Program.

3.2.2.13.5.2. AFIT (includes The Civil Engineer School, Graduate School of Engineering and Management, School of Strategic Force Studies, and the School of Systems and Logistics).

3.2.2.13.5.3. AWC – Resident Program.

3.2.2.13.5.4. Barnes Center for Enlisted Education (BCEE).

3.2.2.13.5.5. Eaker Center for Professional Development.

3.2.2.13.5.6. Holm Center for Officer Accessions and Citizen Development.

3.2.2.13.5.7. IOS.

3.2.2.13.5.8. LeMay Center Education Directorate.

3.2.2.13.5.9. LeMay Center Wargaming Directorate.

3.2.2.13.5.10. SAASS.

3.2.2.13.5.11. Academic Centers (includes the Center for Strategic Deterrence Studies, Air Force Culture and Language Center, Air Force Negotiation Center, Cyber College, and the Center for Strategy and Technology).

3.2.2.13.5.12. SOS.

3.2.2.13.5.13. Global College of Professional Military Education.

3.2.2.14. Centers and Schools will facilitate faculty members' ability to serve as Senators consistent with the academic mission. School faculty members, as defined in [paragraph 3.2.2.13.1](#) will provide the pool of candidates from which selections will be made. Organizations listed in [paragraph 3.2.2.13.5](#) will develop internal election procedures for selecting Senators. The intent is to provide an authentic voice for faculty members at large.

Every effort should be made to ensure that both military and civilian faculty are represented.

3.2.2.15. Senators should be selected by organizations as listed in [paragraph 3.2.2.13.5](#) no later than (NLT) 1 August. Organizations will provide the names of incoming Senators to the AU Faculty Senate President.

3.2.2.16. The Faculty Senate will determine the frequency of its meetings and notify all faculty prior to the meetings, to encourage visitors/observers into its sessions.

3.2.2.17. The Senate shall elect a President, Vice-President (VP), and Secretary annually.

3.2.2.17.1. The Faculty Senate President:

3.2.2.17.1.1. Serves a maximum of two terms.

3.2.2.17.1.2. Provides the AU/CC and AU/CAO a current Faculty Senate roster NLT 30 September.

3.2.2.17.1.3. Chairs periodic Senate meetings provides agenda items to the Secretary and ensures meeting minutes are made available to all AU faculty members. Ensures all recommendations approved by the Senate are presented to appropriate AU leaders.

3.2.2.17.1.4. Serves as a member of the AU/CC Standup Meeting.

3.2.2.17.1.5. Ensures the call for nominations for Senate membership occurs annually.

3.2.2.17.2. The Faculty Senate VP:

3.2.2.17.2.1. May serve for two consecutive terms. The VP is eligible to run for President in the next term but is limited to a total of three terms as required by [paragraph 3.2.2.13.4](#).

3.2.2.17.2.2. Automatically assumes the office of President if the President is absent and unable to complete his or her term.

3.2.2.17.2.3. Coordinates the presentation and discussion of committee reports prior to each Senate meeting.

3.2.2.17.2.4. Serves as a member of the Academic Council.

3.2.2.17.2.5. Assists in recruiting Senate officer candidates for the following year.

3.2.2.17.3. The Faculty Senate Secretary:

3.2.2.17.3.1. May serve for two consecutive terms if elected by the Senate. The Secretary is eligible to run for President or VP in the next term but is limited to a total of three terms as required by [paragraph 3.2.2.13.4](#).

3.2.2.17.3.2. Notifies faculty and Senators of meetings in a timely manner. Prepares and distributes the agenda for all Senate meetings.

3.2.2.17.3.3. Maintains a current Faculty Senate roster, including school or research organization assigned, department of assignment, and length of time as a Senator. By 15 September of each year, the Secretary shall review and update the

roster to reflect recent Senator selections and departures.

3.2.2.17.3.4. Prepares and distributes the minutes of all Senate meetings. Ensures meeting minutes are made available to faculty members within 15 duty days after the meeting.

3.2.2.17.3.5. Ensures records reflect all meetings and significant decisions or activities of the Senate. These records should be available to all members.

3.2.2.17.3.6. Performs other duties as requested by the Faculty Senate President.

3.2.2.17.3.7. Organizes the nomination and election processes for Senators. This includes any required special elections to fill unexpected vacancies. If the vacancy is that of the Secretary, another officer will schedule a special election.

3.2.2.18. The Faculty Senate will solicit nominations for the AU Honorary Degree when requested by AU/CC and AU/CAO. Refer to [paragraph 14.9](#), for instructions and criteria for candidacy. The Faculty Senate will review submitted nominations and provide up to three recommendations that satisfy the selection criteria established by the AU/CC.

## Chapter 4

### ACADEMIC PRINCIPLES AND PRACTICES

**4.1. Purpose.** Provides guidance on the AU principles and practices regarding academic freedom, non-attribution, and academic integrity.

4.1.1. Academic freedom is a key tenet at AU and is essential to advancing teaching, learning, and scholarship related to the AU mission. AU faculty, students, and staff must be free to pursue knowledge, speak, write, and explore complex, and often controversial concepts and subjects. Academic freedom applies within the context of AU's military and academic character.

4.1.2. Non-attribution is the principle that protects open expression and discourse within the academic environment. Non-attribution establishes trust relationships by assuring that thoughts and opinions are treated as privileged information not to be shared in other forums nor attributed to a specific individual without prior permission.

4.1.3. Academic integrity is the belief in honesty and an intolerance of acts of falsification, misrepresentation, or deception. It is one of the key ways that the Air Force core value of integrity is applied within the AU academic environment.

4.1.4. The powerful amalgam of academic freedom, non-attribution, integrity, and individual responsibility contributes to the institutional integrity of the University and includes the following principal elements:

4.1.4.1. Freedom to teach, conduct research, and publish research findings without fear of reprisal.

4.1.4.2. Freedom to discuss within a classroom (physical or virtual) any material or ideas relevant to the course, to include controversial, unusual, or unpopular topics, within the confines of the Uniformed Code of Military Justice (UCMJ) and applicable DoD and AF Instructions.

4.1.4.3. Freedom to seek changes in academic and institutional policies without fear of reprisal.

4.1.4.4. Responsibility to pursue excellence, intellectual honesty, and objectivity in teaching.

4.1.4.5. Responsibility to encourage faculty, students, and colleagues to engage in critical thinking, free discussion, publication, and inquiry on relevant subjects.

### **4.2. Roles and Responsibilities.**

4.2.1. AU/CAO will:

4.2.1.1. Ensure that AU academic freedom, non-attribution, and academic integrity policies are published and available to all University personnel.

4.2.1.2. Provide support, advice, and consultation to Center Commanders, School Commandants, and academic program coordinators as required for potential violations of academic freedom, non-attribution, and academic integrity policies to ensure consistent and comprehensive application of University policies.

4.2.2. Center Commanders, School Commandants, and academic program coordinators will annually brief their faculty, staff, and students about AU's policies on academic freedom, non-attribution, and academic integrity as well as recourse mechanisms, within the context of each program's academic mission.

4.2.3. The AFIT Supplement to this instruction will address the roles of AFIT/CL, AFIT/CAO, and Deans in implementing the policies of this chapter and reporting violations to AU offices as required.

### **4.3. Academic Freedom Policy.**

4.3.1. AU recognizes that faculty, students, and staff must be free to pursue knowledge, speak, write, and explore complex, and often controversial concepts and subjects. AU therefore respects faculty, students, and staff's academic freedom. However, as a military organization with an academic mission, academic freedom must be practiced within the context of AU's military and academic character.

4.3.2. As an academic institution, AU recognizes and encourages the free and open discussion and/or debate of appropriate topics within the classroom. However, faculty, staff, and students are limited in the manner in which they may publicly criticize senior officials. Consequently, such criticism and debate must be delivered respectfully in accordance with UCMJ, U.S.C., and AFI.

4.3.3. The time-honored tradition of academic freedom carries with it profound individual responsibility. Academic freedom must be tempered by good judgment so that individuals refrain from making unreasonably offensive or irresponsible statements either verbally or in writing. Examples of statements that are not protected by the University policy on academic freedom include the denigration of any person's age, race, color, ethnic group, religious beliefs, sexual orientation, or gender. This is not meant to restrict discussions of controversial subjects; however, good judgment and discretion must be a guiding standard.

4.3.4. Faculty and staff may exercise academic freedom and candor in accordance with provisions of DoDI 5230.09, *Clearance of DoD Information for Public Release*, and DoDD 5500.07, *Standards of Conduct*, in written and oral products.

4.3.5. Authors shall ensure appropriate disclaimers accompany all works produced for publication in which the author is identified/associated with AU or any of its components. An appropriate disclaimer is as follows: "The views expressed in this article are those of the author and do not necessarily reflect the official policy or position of the United States government, Department of Defense, United States Air Force, or Air University."

4.3.6. Center Commanders and School Commandants will establish appropriate appeal mechanisms policies for faculty, staff, and students to bring grievance related to academic freedom to command-level attention. Upon resolution, violations of academic freedom will be reported to AU/CAA to ensure consistent and comprehensive application of University policies.

#### **4.4. Non-Attribution Policy.**

4.4.1. AU faculty, staff, and students are prohibited from attributing any statement, comment, or remark to participants (i.e., faculty, staff, students, or guest instructors) by name in public media or forums, or knowingly transmitting such to persons who will enter statements into the public arena, unless specifically authorized to do so.

4.4.2. Guest instructors' presentations at AU will not be recorded by attendees, by any means, without expressed, advance written permission from the guest instructor or their designated representative. To facilitate candid expression and learning, the non-attribution policy applies to all AU programs, sessions, and distributed materials in which guest speakers participate. Typically, question and answer sessions following a formal presentation will not be recorded or captured to preserve academic freedom and non-attribution unless specifically authorized.

4.4.3. Center Commanders, School Commandants, and academic program coordinators will establish and implement procedures for obtaining and documenting speaker permission to record or otherwise capture presentation materials.

4.4.4. Center Commanders, School Commandants, and academic program coordinators will establish and implement procedures for obtaining permission to attribute comments.

**4.5. Academic Integrity.** Conduct that violates this paragraph or subparagraphs by military personnel is a violation of Article 92, UCMJ. Violations by civilian personnel may result in disciplinary or adverse action and/or civilian criminal or civil sanction.

4.5.1. Academic integrity is the uncompromising adherence to a code of ethics, morality, conduct, scholarship, academic standards, and other values related to academic activity. Violations of academic integrity are inconsistent with Air Force Core Values and will not be tolerated.

4.5.2. Honesty, trust, fairness, respect and responsibility form the basis of academic integrity. Honesty encourages a free exchange of ideas to achieve intellectual enlightenment. Trust fosters a willingness to engage collaboratively in the learning process, which involves sharing ideas in the quest for knowledge. Fairness is the foundation of educational inquiry. Respect facilitates public discourse. These values are fundamental elements sustaining the reputation and credibility of this institution's faculty, students, and staff as well as the value of the education the institution delivers and the degrees it awards.

4.5.3. Types of Work Assignments.

4.5.3.1. Individual Work Assignments. Academic assignments, examinations, or research efforts require individuals to accomplish and submit their own work unless specifically authorized by the faculty member. Individual Work Assignments may, with faculty authorization, include, permit, or require peer or instructor review of drafts prior to determining an individual grade.

4.5.3.2. Group Work Assignments. Academic assignments, examinations, or research efforts not otherwise specified as Individual Work Assignments. Specified Group Work Assignments may limit or prohibit consultation or collaboration with other groups or with individuals outside of a specified group.

4.5.4. Academic Integrity Violation. The act of intentionally providing and/or receiving improper assistance on academic assignments, examinations, or research efforts. Instructors,

staff, trainees, cadets, and students shall not engage in, attempt to engage in, or assist others to engage in any act constituting an academic integrity violation, as defined in this chapter.

4.5.5. Types of Academic Integrity Violations. Academic integrity violations include, but are not limited to:

4.5.5.1. Plagiarism. The act of intentionally appropriating the written work of another, parts or passages of their writings, or the ideas or language of another, and intending to pass them off as the product of one's own mind. An example of plagiarism is copying material verbatim without quotation marks or citations and with the intent to claim the material as one's own work. Another example is the intentional use of a source's sentence structure, style, and content with only minor word changes (i.e., paraphrasing), without giving credit to the source. Although academic guidelines should make plagiarism rules as clear as possible, students also must take responsibility for their work. Students who have any questions about citation or crediting a source have an obligation to ask for clarification from an instructor or staff member.

4.5.5.2. Misrepresentation. The act of making an assertion or omission to intentionally deceive or mislead. Misrepresentation may be an oral or written statement that is misleading or deceiving and meant to be so, such as false reporting. A trainee, cadet, or student may also commit misrepresentation by omission, such as deliberately withholding material information. Personnel who resubmit research papers or other work prepared by them to fulfill a prior academic requirement, while disguising or failing to disclose the resubmission, would be guilty of misrepresentation. For example, a student may not resubmit a research paper that was previously submitted in another course (or a variant of the current course, such as a nonresident version of the same course), without disclosing the resubmission.

4.5.5.3. Gaining unauthorized access to instructor materials that have not been released for trainee, cadet, or student use.

4.5.5.4. Copying answers from another's work.

4.5.5.5. Providing or using unauthorized texts, notes, materials, or other references for examinations or other assigned work.

4.5.5.6. Unauthorized use of electronic devices.

4.5.5.7. Permitting another student to copy one's writing assignments, speeches, or briefing materials, or answers from an examination paper.

4.5.5.8. Submitting as individual work product any materials that were researched, drafted, or prepared by another person.

4.5.5.9. Collaborating or consulting with other persons on an individual work assignment in a manner not specifically authorized by the assignment instructions.

4.5.6. Roles and responsibilities.

4.5.6.1. Center Commanders and School Commandants:

4.5.6.1.1. Specify the types of study and reference materials that trainees, cadets, and students may use in accomplishing their academic assignments.

- 4.5.6.1.2. Ensure all faculty, staff, and students are aware of AU's academic integrity policy.
- 4.5.6.2. AU/CAO:
  - 4.5.6.2.1. Oversee implementation of AU's academic integrity policy.
  - 4.5.6.2.2. Advise Commanders and Commandants on violations of academic integrity.
- 4.5.7. Consequences of Violations. Personnel who violate academic integrity standards are subject to disenrollment and expulsion from programs and/or courses. Students disenrolled from AU programs and/or courses for academic integrity violations are not permitted to reenroll or attend the program or course unless AU/CC approves a waiver. Personnel may be subject to disciplinary or administrative action for academic integrity violations.
  - 4.5.7.1. Trainees, cadets, and students whose violations of academic integrity are not discovered until after program or course completion are still subject to appropriate disciplinary and/or adverse action.
  - 4.5.7.2. AFROTC cadets must satisfy the same academic integrity standards as other AETC trainees and students but are not usually subject to punishment under the UCMJ. Initially, violations of academic integrity will be handled under the rules and authority of the host academic institution. After institutional actions, the AFROTC detachment commander will review the specifics of the situation. If the detachment commander determines that a violation of academic integrity standards took place, he or she will take appropriate action under AFROTC policies, which may include elimination of non-contract cadets, disenrollment for contract cadets, and UCMJ action for cadets subject to the UCMJ.
- 4.5.8. Reporting Violations.
  - 4.5.8.1. All substantiated violations of academic integrity will be reported to AU/CAO and AU/CC.
  - 4.5.8.2. Violations by Temporary Duty (TDY) personnel or members of other U.S. military services shall be reported to the individual's commander. The report shall include all documentation supporting the alleged violation and a request to the individual's commander for a notice of final case disposition.
  - 4.5.8.3. Violations by students enrolled in AU nonresident (distance learning) programs shall be reported by the Center Commander or School Commandant to the student's commander for appropriate disciplinary action. The report shall include all documentation supporting the alleged violation and a request to the individual's commander for a notice of final case disposition.
  - 4.5.8.4. Violations by contractor students shall be reported to the appropriate Contracting Officer Representative who will facilitate any required notifications to the individual contractor's employer.
  - 4.5.8.5. Violations by international military students and cadets shall be reported to the appropriate international military student officer, who will facilitate any required notifications to the head of the sponsoring security assistance implementing agency.



Violations by international students shall be reported to AU/IA for appropriate notifications through Air Force and international channels.

4.5.9. Documentation of Violations. Substantiated violations of academic integrity shall be documented and maintained in the member's Personnel Information File (PIF).

#### **4.6. Security and Policy Review.**

4.6.1. Center Commanders and School Commandants shall provide an appropriate mechanism through which a proper security review may be conducted. If there is any question on the potential security impact of materials being considered for release, the materials shall be submitted for security review in accordance with (IAW) DoDI 5230.09.

4.6.2. Authors and researchers and educational program coordinators will ensure material that represents direct affiliation with the University or the endorsement of the school, satisfies the writing and scholarly standards and meets security and policy review requirements in accordance with governing Air Force instructions.

#### **4.7. Intellectual Property.**

4.7.1. Intellectual property relates to creations of the mind, including scholarly works, inventions, and other creative works whether distributed electronically, orally, written, or by other methods.

4.7.2. AU respects the intellectual property rights of others, IAW § 17 U.S.C., § 35 U.S.C., and governing DoD and Air Force policies.

4.7.3. It is an essential characteristic of an institution of higher learning to encourage faculty and students to engage in scholarship that leads to the development of intellectual products. AU seeks to protect the intellectual property rights of faculty, students, and staff; however, IAW AFI 51-303, *Intellectual Property*, individuals may not copyright or profit from materials developed using Air Force resources. Such materials are the property of the United States government.

4.7.3.1. Section 544 of the National Defense Authorization Act for Fiscal Year 2020 provides for an exception to 17 U.S.C. § 105, granting copyright of a covered work to a covered civilian faculty author, subject to the authority of the Secretary of Defense to direct the author to provide a free license.

4.7.3.2. USD (P&R) will implement this change in DoDI 1322.a.b. *Copyright Protection for Civilian Faculty of Certain Accredited Military Education Institutions*.

4.7.4. AU/JA coordinates actions concerning all intellectual property rights disputes at AU.

4.7.5. Center Commanders and School Commandants are responsible for ensuring that their programs conform to the policies and standards for proper use of intellectual property.

## Chapter 5

### FACULTY

#### 5.1. Purpose.

5.1.1. Provides guidance governing the management of AU military and civilian faculty.

5.1.2. AU leaders will refer to 5 and 10 U.S.C.; applicable Air Force and Department of Defense Instructions; and institutional, joint, and specialized accreditation standards for additional, pertinent insights into faculty management for educational programs.

#### 5.2. Roles and Responsibilities.

##### 5.2.1. AU/CC:

5.2.1.1. AU/CC is the authority for faculty actions, including but not limited to: initial appointments, renewals of appointment, academic rank, academic promotions, academic tenure, administrative assignments, merit steps, awards, incentives, and emeritus status.

5.2.1.2. AU/CC delegates the authority to initially appoint, academically promote up to the rank of associate professor, renew appointments, make administrative assignments, and provide faculty merit steps, awards, and incentives to Center Commanders, School Commandants, and the AFIT Director. These authorities may not be further delegated. In the case of Administratively Determined faculty, this authority is delegated only to those commanders whose principal course of instruction is at least 10 months in duration.

5.2.1.2.1. Center Commanders, School Commandants, and the AFIT Director will consult with AU/CAO on delegated faculty actions to identify and resolve issues that may have effects beyond a single organization. FM, JA, and the appropriate civilian personnel officer will also act as advisors on faculty actions, as appropriate.

5.2.1.3. AU/CC delegates to the AU/CAO the authority to approve, for Title 10 civilian faculty members assigned to HQ AU and the Muir S. Fairchild Research Information Center (MSFRIC), academic appointments, renewal of appointments, make administrative assignments, academic rank, academic promotion, merit steps, awards, and incentives decisions consistent with the similar authority delegated to AU Center Commanders and School Commandants. These authorities may not be further delegated.

5.2.1.4. AU/CC retains the authority to award or academically promote faculty to professor, to grant academic tenure, and to bestow emeritus status for non-AFIT centers and schools.

5.2.1.4.1. AU/CC delegates to the AFIT Director the authority to award or academically promote faculty to professor, to grant academic tenure, and to bestow emeritus status for AFIT faculty, consistent with its separate HLC accreditation. Prior to the award, AFIT Director will complete the required forms in accordance with AFI36-116\_AUSUP.

##### 5.2.2. AU/CAO:

5.2.2.1. Develops and coordinates human capital and talent management processes and procedures, as described in [paragraph 5.6](#), *Faculty Management*, for the University.

5.2.2.2. Oversees establishment of broad criteria for the University's military and civilian faculty qualifications in each educational program.

5.2.2.3. Establishes University policies, procedures, and standards for faculty appointments, promotions, tenure, awards, and incentives.

5.2.2.4. Coordinates with appropriate support directorates, Center Commanders, and School Commandants to facilitate advertisement of full-time civilian faculty positions in appropriate national and professional publications concurrently with USAJOBS, to ensure the widest dissemination of vacancies to attract a large and diverse pool of highly qualified candidates.

5.2.2.5. Establishes University policies and procedures for setting Title 10 faculty salary and rank at initial appointment, promotion, renewal, and tenure decision points.

5.2.2.6. Reviews and recommends faculty requirement documents, promotion, tenure, hiring, and reappointment recommendations.

5.2.2.7. Advises AU/CC, Center Commanders, and School Commandants on faculty appointment, reassignment, academic promotion, academic tenure, and renewal of appointments, makes administrative assignments in accordance with governing documents and higher education principles.

5.2.2.8. Supports, as required, orientation programs for faculty, program coordinators, and commanders to ensure consistent understanding of AU missions, policies, procedures, information technology/educational technology (IT/ET) infrastructure, educational methodologies, and Joint, institutional, and specialized accreditation requirements.

5.2.2.9. Establishes University-level policies and requirements for comprehensive faculty development programs.

5.2.2.10. Establishes University-level policies for approving leave for professional development (e.g., academic absences and sabbaticals).

5.2.2.11. Reviews and approves faculty awards and incentive recommendations.

5.2.2.12. Assures faculty credentials comply with policy and quality standards for institutional, Joint, and specialized accreditation.

5.2.2.13. Reports periodically to AU/CC, the BoV, and senior leaders on faculty quality, sufficiency, diversity, and relevance to AU mission requirements.

### 5.2.3. Center Commanders and School Commandants:

5.2.3.1. Ensure their programs have sufficient numbers of full-time faculty to accomplish educational missions.

5.2.3.2. Develop and implement human capital and talent management processes and procedures, as described in [paragraph 5.6](#), for their programs.

5.2.3.3. Establish and ensure all faculty members meet minimum qualification criteria for assigned courses in their educational program(s).

5.2.3.4. Implement appropriate procedures for faculty appointment, appointment renewals, academic promotion, administrative assignments, and academic tenure. These

policies and procedures will use peer review processes to evaluate qualified candidates for initial appointment, renewal of appointment, academic promotion, and/or academic tenure.

5.2.3.4.1. Peer-review committees will conform to established policies with respect to diversity and rank.

5.2.3.4.2. For initial appointments of civilian faculty, committees will review fully qualified applications and conduct interviews using criteria derived from the teaching, scholarship, and service requirements detailed in **paragraph 5.5** and established in Core Personnel Documents (CPDs) and procedures established in governing directives.

5.2.3.4.3. Job talks are encouraged, and when used will be open and advertised to the University.

5.2.3.4.4. Committee reviews will be summarized in related staff packages.

5.2.3.5. Approve faculty academic appointments, rank, promotion, merit steps, awards, and incentives decisions consistent with the authority delegated by AU/CC in **paragraph 5.2.1**.

5.2.3.6. Coordinate decisions through AU/CAO, FM, and JA for academic appointments, rank, promotions, awards, and incentives decisions in accordance with governing documents and higher education principles.

5.2.3.7. Forward recommendations for granting tenure and emeritus status to AU/CC through AU/CAO.

5.2.3.8. Appoint academically qualified faculty members to serve in administrative faculty positions as academic program coordinators to ensure the quality, integrity, and review of educational programs.

5.2.3.9. Document compliance with Joint, specialized, and institutional accreditation standards related to faculty credentials for each assigned course.

5.2.3.10. Report periodically to AU/CC on faculty quality, sufficiency, relevance, and development initiatives to AU mission requirements.

5.2.3.11. Program and allocate available resources (i.e., funds and time) in accordance with University-level policies to provide comprehensive faculty development as teachers, scholars, and practitioners for all assigned faculty.

5.2.3.12. Ensure every faculty member proposes professional development activities to their supervisor annually, and the agreement is documented (e.g., in an individual development plan [IDP]).

5.2.3.13. Establish procedures and standards for approving leave for professional development (e.g., academic absences and sabbaticals).

5.2.3.14. Ensure that CPDs reflect assigned duties, as described in **paragraph 5.5**, and include CPDs as supporting documentation to AD faculty staff packages for appointment, reassignment, academic promotion, academic tenure, and reappointment.

#### 5.2.4. HQ Staff.

##### 5.2.4.1. A1:

5.2.4.1.1. Supports AU by interpreting policies, providing expert advice, developing CPDs with appropriate teaching, scholarship, and service duties; validating manpower requirements and authorizations; managing organizational change requests and administrative change requests; and processing personnel packages.

5.2.4.1.2. Coordinates with the AFPC to fill all valid military faculty vacancies in accordance with requirements established by Center Commanders and School Commandants.

5.2.4.2. FM coordinates, as appropriate, on hiring, academic promotions, reappointments, academic awards, and incentives recommendations to ensure adequate resources are available.

5.2.4.3. JA conducts legal review, as appropriate, of faculty hiring, academic promotions, reappointments, tenure, and disciplinary actions to provide legal counsel to AU/CC and senior leaders.

##### 5.2.5. Supporting Civilian Personnel Office (CPO):

5.2.5.1. Advises AU/CC, Center Commanders, and School Commandants on personnel policies, processes, and procedures.

5.2.5.2. Assists supervisors in developing faculty CPD with appropriate teaching, scholarship, and service duties and necessary knowledge, skills, and abilities in accordance with applicable Title 5 and 10 requirements.

5.2.5.3. Manages advertisements in USAJOBS. Coordinates with AU/CAO, Center Commanders, and School Commandants to ensure advertisements are published simultaneously in appropriate national and professional publications.

5.2.5.4. Supports use of the Pathways Program, as requested.

### 5.3. Definition of Faculty.

5.3.1. Faculty members are individuals whose primary duties support the AU educational mission and involve teaching, scholarship, and service, as defined in [paragraph 5.5](#) Administrative faculty play a significant leadership role; therefore, their duties may also involve leadership and decision-making. These duties are commonly understood to be appropriate for a faculty member at a fully accredited post-secondary academic institution in the United States.

5.3.1.1. Faculty members are typically assigned to programs or academic departments within Centers and Schools. However, individuals are encouraged to broaden their contributions to other AU programs in keeping with their credentials and teaching, scholarship, and service work plans, as well as expectations. AU faculty conform to the policy established in DoDI 1402.06, *Civilian Faculty Positions in the Department of Defense Post-Secondary Educational Institutions* and AFI 36-116, *Civilian Faculty Personnel Management*, with respect to credentials, characteristics, duties, and professional development expectations.

5.3.1.2. Full-time faculty generally occupy authorized manpower positions established in Unit Manning Documents (UMD). The University administers these positions in a combination of military and civilian personnel systems including Officer, Enlisted, and Titles 5 and 10 U.S.C.

5.3.1.3. Certain schools/courses utilize Central Salary Account positions to fill full-time faculty positions. These faculty members are considered AU faculty members and are afforded the same faculty membership rights and privileges, consistent with all AFIs and legal requirements.

#### **5.4. Types of Faculty.**

5.4.1. Line faculty constitute the majority of AU's faculty and are assigned duties that emphasize teaching and scholarship, rather than service. Duties of AFIT graduate and PCE faculty are clarified in the AFIT Supplement to this instruction.

5.4.2. Administrative faculty are assigned duties that emphasize service in addition to or over teaching and scholarship. They provide academic advice or consultation, management and governance of the academic enterprise or an educational program, and/or perform duties that are commonly understood to be appropriate for a member of the faculty of a fully accredited post-secondary academic institution in the United States.

5.4.3. Senior administrative faculty include individuals with titles such as dean, education advisor, program coordinator, or similar positions that are commonly understood to be appropriate for a senior administrator of a fully accredited post-secondary academic institution in the United States.

5.4.4. Postdoctoral fellows are civilian faculty members who recently completed their terminal degree, providing selectees with insight to military educational institutions in general, and AU in particular. AU hires postdoctoral fellows using the AD pay plan for two-year non-renewable terms. Postdoctoral fellows' duties include a reduced teaching load, preparation and submission of their dissertation for publication, and university service as appropriate (e.g., may not serve on hiring or reappointment committees). These positions also entail mentoring by senior faculty members.

5.4.5. AU Chairs represent key USAF and DoD stakeholders to all University Centers/Schools and programs. AU Chairs' responsibilities include: acting as the stakeholder's primary entry point into AU; building a personal relationship with stakeholders' senior leaders; attending stakeholders' senior-leader conferences; serving as a conduit to exchange priorities and products; establishing and maintaining a network of subject matter experts across AU, with stakeholder organizations and in professional communities; and visiting all AU programs at least annually. AU/CC delegates supervision and evaluation of Chairs to AWC/CC, unless a written agreement or Service regulations dictate otherwise. AU/CV on behalf of AU/CC will lead regular meetings with the AU Chairs to assist their efforts, document outcomes, and share information. AU/CAO will provide oversight of all AU Chairs activities related to curriculum, scholarship, or special initiative, whether in a single school or across the University.

5.4.6. Visiting faculty are on leave from another educational institution and must meet all criteria required for teaching in the program to which they are assigned. Visiting faculty who have academic rank at their home institutions retain that same rank for the duration of their assignment at AU.

5.4.7. Contingent faculty are hired on a contractual basis to meet a variable teaching need. Contingent faculty are considered part-time, regardless of the number of hours they work, do not hold academic rank at AU, and their contracts determine their specific duties.

5.4.8. Guest instructors and guest speakers are not assigned to an AU organization and are not afforded status as AU faculty members.

5.4.8.1. A guest instructor is defined as a non-government civilian who presents materials at a Center/School function or event specifically supporting learning objectives in the school's curriculum, faculty development, or other parts of a Center/School's programs of instruction. Such instructors are not afforded status as AU faculty member but they may be paid a reasonable fee for instructional services. The vast majority of speakers to AU students and faculty should fall into this category.

5.4.8.1. 1 Requirements: Documentation must clearly outline specific learning objectives, instructional expectations, and topical constraints that bound the materials to be delivered. Per DoD FMR 7000.14-R, Volume 10, Chapter 12, the fee is considered "payment for presentation of materials under a training contract involving a program of instruction." It is not considered an honorarium as defined in the DoD FMR and consequently, approval authorities and processes specified in AFMAN 65-605, *Budget Guidance and Technical Procedures*, (formerly AFI 65-601) do not apply.

5.4.8.1.2. Approval Authority Thresholds: Center/School Commanders/Commandants are the approval authority for guest instructors with the following guidelines:

5.4.8.1.2.1. Up to \$2,500: Including the new request, if the individual's total fiscal year payment(s) are \$2,500 or less, the Center/School is not required to develop a contract with the local contracting squadron to compensate the instructor.

5.4.8.1.2.2. Greater than \$2,500: If the request will bring the individual's total fiscal year payment(s) over \$2,500, the Center/School must develop a contract with the local contracting squadron to compensate the instructor.

5.4.8.2. A guest speaker is an individual who "has discretion concerning the content of speech, presentation, or panel discussion on a general topic" (DoD FMR 7000.14-R, Volume 10, Chapter 12). Accordingly, non-government civilians who speak at an AU event and do not meet the definition of an individual contract instructor in [paragraph 5.4.7.1](#) are considered guest speakers and may be paid a reasonable honorarium for their service. This would include speakers at functions like dining outs, social activities, graduations, and other events not required to meet educational program requirements.

5.4.8.2.1. Requirements: Approval authorities for paying honoraria to guest speakers are specified in AFMAN 65-605. An AETC/CC Memo, Approval Process for Guest Speakers and Guest Instructors at AU Programs, specifies AETC monetary thresholds and authorities for honoraria.

5.4.8.2.2. Approval Authority Thresholds and Processes:

5.4.8.2.2.1. For threshold up to \$1,000:

5.4.8.2.2.1.1. Maxwell-Gunter Centers/Schools' approval authority is 42 ABW/CC. Submit eSSS via TMT for wing commander approval, assigning AU/FM, 42 ABW/JA, and 42 CONS as Office of Coordinating Responsibilities

(OCRs).

5.4.8.2.2.1.2. AFIT's approval authority is 88 ABW/CC. Follow prescribed staffing processes for the host wing.

5.4.8.2.2.2. For threshold from \$1,001-\$2,000, AETC/CD is approval authority. Submit request through TMT with AU/ES as OPR. AU/ES will assign AU/JA, AU/FM, and 42 CONS as OCRs and route through AU/CC for coordination with AETC.

5.4.8.2.2.3. For threshold greater than \$2,000, AF/CVA is approval authority. Submit request through TMT with AU/ES as OPR. AU/ES will assign AU/JA, AU/FM, and 42 CONS as OCRs and route through AU/CC for coordination with AETC and HAF.

5.4.8.2.2.4. If the amount paid to a single individual guest speaker exceeds \$2,500 in a fiscal year, they must be paid through a contract.

5.4.8.3. Threshold Tracking for Guest Instructors and Speakers: Centers/Schools will submit arrangement details to the AU/A3-maintained centralized data site. AU/A3 will retain AU oversight by reviewing aggregate submissions at least quarterly to ensure monetary thresholds are being observed for each guest speaker within the fiscal year.

5.4.9. The Emeritus faculty are retired civilian faculty members, usually holding the academic rank of Professor, who have been awarded this honorary status based on their significant contributions to the DoD, the Air Force, and national security over the course of a career at AU. Emeritus faculty status does not confer additional benefits or considerations such as office space or research support.

## **5.5. Faculty Duties.**

5.5.1. Full-time faculty members perform three types of duties in the context of their assigned Center or School mission, which should be described in their CPD and elaborated in annual work plans:

5.5.1.1. Teach, to include designing, developing, and delivering curriculum, as well as advising and assessing student learning. While teaching is a form of scholarship, its importance warrants its separate acknowledgement as a specified duty.

5.5.1.2. Conduct scholarship, to include the scholarship of discovery (creating knowledge), the scholarship of integration (connecting knowledge), and/or the scholarship of application (using knowledge). Scholarship often supports curriculum development, but curriculum development alone is generally insufficient to satisfy the duty.

5.5.1.3. Perform service, to include academic leadership and administrative activities for AU, USAF, DoD, and the scholarly community.

## **5.6. Faculty Management.**

5.6.1. Faculty management involves holistic planning, programming, and execution at the University and program levels to identify requirements, acquire talent, develop professionally, employ effectively, assess and reward, and plan for succession.



5.6.1.1. Requirements planning includes determining the quantities, types, expertise, qualifications, and credentials of faculty necessary to deliver high quality educational programs and accomplish the University's mission. This planning permits the University to identify and proactively address faculty shortfalls, to ensure faculty expertise remains aligned with curricular changes, and to prioritize personnel actions.

5.6.1.2. Talent acquisition includes classifying position descriptions; developing CPDs with the appropriate emphasis assigned to teaching, scholarship, and service duties; preparing vacancy announcements; advertising in appropriate venues; screening and selecting applicants based on established criteria; determining initial academic rank; and on-boarding of new faculty members.

5.6.1.3. Professional development involves adding to the skills, knowledge, and abilities of faculty members as teachers, scholars, and practitioners, consistent with the AU mission. This enhances the faculty's ability to contribute to the AU mission, increases the faculty's expertise and relevance in their fields, and makes them better leaders if and when they leave AU. Developmental endeavors are captured in IDPs. See [paragraph 5.7.5](#) for additional information.

5.6.1.4. Effective employment describes the activities required of faculty members as reflected in their performance work plans. It will require focused prioritization of teaching, scholarship, service, and other activities that make up the full-time expectations that leverage faculty member's unique abilities in contributing to AU's educational mission.

5.6.1.5. Performance assessment involves objective feedback and documentation of employee contributions to the AU mission. Performance assessment is the primary mechanism for determining promotions, awards, incentives, and other forms of recognition related to mission accomplishment.

5.6.1.6. Succession planning is a strategic process that anticipates changes in a labor pool and leverages accession, retention and developmental incentives and opportunities to ensure consistency in the quality and quantity of talent to meet mission requirements. Some positions are too critical to be left vacant or filled by any but the best-qualified individuals. AU leaders will periodically assess opportunities and requirements for enhancing the overall quality of the faculty and academic program coordinators through succession planning.

## **5.7. Faculty Development.**

5.7.1. Faculty development at AU is intended to enhance faculty members' knowledge and skills to perform their assigned duties. It may also prepare faculty members for future opportunities within the University, DAF, and DoD. Faculty development activities should emphasize learning and growth over production and output.

5.7.2. Commanders will provide professional development opportunities for all full-time faculty. This requires commanders to allocate adequate resources (i.e., time and money) to faculty development. (**NOTE:** Contingent faculty are ineligible for certain developmental opportunities due to contractual limitations and expectations for resource stewardship.)

5.7.3. Commanders and supervisors will tailor faculty development programs and opportunities, based on academic programs' needs, to enhance assigned faculty members'

capabilities as teachers, scholars, and practitioners. Efforts to develop faculty as teachers and scholars benefit by drawing on the expertise of deans, education advisors, senior faculty members, and other subject matter experts, as appropriate.

5.7.4. Individual faculty members will take initiative in planning and pursuing their own professional development and growth.

5.7.5. All faculty members will prepare an IDP in concert with their supervisor within 60 days of assuming faculty duties. Faculty will review and update their IDP with their supervisor within 30 days of the start of a new rating period.

5.7.5.1. IDPs are goal-driven documents that identify desired or required knowledge and skills; link these to specific developmental activities; and anticipate resource requirements (time and money).

5.7.5.2. IDPs act like an agreement between the faculty member and his/her supervisor, and by extension, the commander, who is ultimately responsible for faculty development.

5.7.6. Faculty development can include a wide range of activities. Categorizing efforts to develop faculty as teachers, scholars, and practitioners establishes a common framework for planning and reporting on faculty development at AU. (Note: The examples are illustrations, and should not constrain or limit commanders, supervisors, or faculty members' innovation.)

5.7.6.1. Development as teachers, including: initial certification to teach in a program; preparation to deliver a lesson or course; and pedagogical skills, to enhance abilities to design, develop, deliver (instruct), and assess learning.

5.7.6.2. Development as scholars, including: data collection, analysis, and presentation in support of the scholarship of application, the scholarship of integration, and/or the scholarship of discovery.

5.7.6.3. Development as practitioners (Airmen) including: learning in one's career field, broadening experiences, the profession of arms, academic administration, and leadership.

5.7.7. Faculty development is distinct from faculty qualifications (see [paragraph 5.9](#)). However, certain developmental activities may be required for faculty members to teach in a program (e.g., new faculty certification courses) or make faculty members eligible for new teaching assignments (e.g., through the mastery of new fields).

## **5.8. Leave for Professional Development.**

5.8.1. Leave for Professional Development (LPD) is an excused absence from duty for approved developmental activities without loss of pay or charge to annual leave.

5.8.2. AU supports faculty members taking LPD if resources are available and if the proposal significantly benefits AU, the DAF, or DoD. LPD is an institutional investment in a faculty member with the expectation that it will contribute to AU's mission. Applicants for any LPD program must present evidence that they plan to use the time for scholarly or professional activities that will advance their professional standing and enrich their teaching upon return to AU for continued service. LPD is a privilege, not an entitlement, and approval is always subject to meeting mission needs.

5.8.3. AU recognizes several categories of LPD. Faculty and supervisors should carefully consider which type of LPD is most appropriate for a specific developmental goal. Note that

not all types of faculty are eligible for every category of LPD and others require faculty members to have first successfully completed a minimum number of years on faculty at AU. All LPD require a written plan, reviewed by peers, approved by supervisors, and provide a deliverable upon completion (e.g., manuscript or report).

5.8.3.1. Faculty Exchange. An authorized absence for a short (up to 90 days), medium (up to 179 days), or long (1-2 years) period when an AU faculty member serves as a visiting faculty member at another military educational institution (MEI) or accredited civilian college/university.

5.8.3.1.1. Eligibility: All AU faculty members are eligible for short and medium exchanges. Long exchanges require that a faculty member have first successfully completed one year of full-time employment.

5.8.3.1.2. Procedures: Center Commanders, School Commandants, the AFIT Director, and AU/CAO will develop local instructions to ensure transparent, equitable, and performance-based decisions. Peer review will be used to vet requests and inform decisions. Requests for Faculty Exchanges will be submitted and decisions will be recorded on an AU Form 49, *Request Leave of Absence*.

5.8.3.1.3. Approval: Center Commanders, School Commandants, the AFIT Director, and the AU/CAO, in accordance with paragraphs [5.2.1.2](#) and [5.2.1.3](#).

5.8.3.2. Academic Absence. An authorized absence for a period not to exceed 30 days per calendar year (CY), during which a faculty member has no regular teaching responsibilities, when s/he may instead conduct scholarly or professional activities that will advance their professional standing and enrich their teaching upon return to AU.

5.8.3.2.1. Eligibility: All AU faculty members.

5.8.3.2.2. Procedures: Center Commanders, School Commandants, the AFIT Director, and AU/CAO will develop local instructions to ensure transparent, equitable, and performance-based decisions. Peer review will be used to vet requests and inform decisions. Requests for Faculty Exchanges will be submitted and decisions will be recorded on an AU Form 49.

5.8.3.2.3. Approval: Center Commanders, School Commandants, the AFIT Director, and the AU/CAO, in accordance with paragraphs [5.2.1.2](#) and [5.2.1.3](#).

5.8.3.3. Scholarly Leave. An authorized absence for a period more than 30 but less than 179 days, when a faculty member conducts scholarship of discovery (i.e., research), scholarship of integration, or scholarship of application that will advance their professional standing and enrich their teaching upon return to AU.

5.8.3.3.1. Eligibility: All AU faculty members who have successfully completed one year of full-time employment at AU.

5.8.3.3.2. Procedures: Center Commanders, School Commandants, the AFIT Director, and AU/CAO will develop local instructions to ensure transparent, equitable, and performance-based decisions. Peer review will be used to vet requests and inform decisions. Requests for Scholarly Leave will be submitted and decisions will be recorded on an AU Form 49.

5.8.3.3.3. Approval: Center Commanders, School Commandants, the AFIT Director, and the AU/CAO, in accordance with paragraphs 5.2.1.2 and 5.2.1.3.

5.8.3.4. Sabbatical. While the term “sabbatical leave” is typically associated to that afforded to the Senior Executive Service by Title 10, U.S. Code, it is also a widely recognized term in academia and is used in this case to describe paid leave for professional development longer than that described in paragraph 5.8.3.3. It is an authorized absence for 6 or 12 months, during which a faculty member pursues a scholarly project in their academic area of interest, expands their knowledge, increases their instructional abilities, enhances their knowledge of military and governmental operations, and/or broadens their general educational and cultural background. Sabbaticals may include but are not limited to: advanced study at U.S. or foreign civilian universities; research at U.S. or foreign civilian institutions; independent investigation or study; and/or preparation of articles, texts, experiments, and exhibits.

5.8.3.4.1. Eligibility: Civilian AU faculty members who have successfully completed at least six years of full-time employment at AU.

5.8.3.4.2. Procedures: Center Commanders, School Commandants, the AFIT Director, and AU/CAO will develop local instructions to ensure transparent, equitable, and performance-based decisions. Peer review will be used to vet requests and inform decisions. Requests for sabbaticals will be submitted and decisions will be recorded on an AU Form 49.

5.8.3.4.3. Approval: AU Commander and President.

5.8.3.5. Fellowships, Scholarships, and Grants. Numerous financial awards are bestowed on a competitive basis by corporations, funds, foundations, educational institutions, and similar entities organized and operated primarily for scientific, literary, or educational purposes. In certain circumstances, faculty members may use these funds to further their authorized absence for professional development.

5.8.3.5.1. Eligibility: All AU faculty members assigned to academic units authorized to accept fellowships, scholarships, and grants.

5.8.3.5.2. Procedures: Commandants of eligible Schools and the AFIT Director will develop local instructions to ensure transparent, equitable, and performance-based decisions. Peer review will be used to vet requests and inform decisions. Requests for sabbaticals will be submitted and decisions will be recorded on an AU Form 49, *Request Leave of Absence*.

5.8.3.5.3. Approval: AWC Commandant and AFIT Director, IAW 10 U.S.C. §9487 and §9414(f), respectively.

5.8.3.6. Long-term Training and Education Programs. An authorized absence to attend an Air Force approved developmental opportunity. The Air Force recognizes the benefits of civilians pursuing occupational/functional training, post-secondary education, developmental education, and leadership/management development. Specific program descriptions are posted on the myPers website under Civilian > Employee > Force Development.

5.8.3.6.1. Eligibility: Civilian AU faculty members who meet program admission criteria.

5.8.3.6.2. Procedures: IAW AFI 36-2670, *Total Force Development*, Chapter 5, *Civilian Training, Education, and Professional Development*.

5.8.3.6.3. Approval: Center Commanders, School Commandants, the AFIT Director, and the AU/CAO, in accordance with paragraphs [5.2.1.2](#) and [5.2.1.3](#).

5.8.4. LPD may entail the faculty member executing a Continued Service Agreement, IAW 5 U.S.C. 4108, 5 C.F.R. 410.309, and AFI 36-2670. JA will advise approval authorities about these decisions on a case-by-case basis.

## **5.9. Faculty Qualifications.**

5.9.1. AU employs highly qualified faculty members to accomplish its mission. These individuals must have credentials appropriate to the courses they are assigned to teach.

5.9.1.1. For faculty who teach in degree-granting programs, the highest earned degree in a relevant discipline is the primary consideration when determining faculty qualifications.

5.9.1.2. In addition to academic degree qualifications, particularly for topics without a corresponding academic discipline, professional experience, completion of specialized development programs, certification, licensure, and awards may augment faculty credentials to support teaching assignments.

5.9.2. Academic program coordinators should establish qualification criteria – academic and experiential – for all courses offered as part of their program.

## **5.10. Academic Rank and Academic Tenure.**

5.10.1. Full-time Administratively Determined civilian faculty members (faculty hired under 10 U.S.C.) will hold one of the academic ranks defined below. Other civilian faculty hired under 5 U.S.C. as well as all military faculty may seek the award of formal academic rank as well as seek academic promotion. Academic rank is based on an individual's qualifications and performance. It is not tied to a specific position but rather to the person. Academic ranks supplement but do not replace official duty titles. Likewise, a duty title is not the equivalent of earned academic rank. Meeting the minimum criteria for an academic rank does not imply automatic appointment to that rank, nor are faculty members automatically granted the rank previously held in other institutions where they have served. If required, academic rank will be established within 90 days of on-boarding military faculty and civilian faculty hired under 5 U.S.C. In these cases, the effective date of academic rank will be retroactive to the faculty member's start date at AU or 90 days prior to approval, whichever is less. For Administratively Determined faculty, initial rank will be set as part of the hiring process. Promotion and tenure shall be based solely on individual merit, regardless of the distribution of faculty by rank within an organization or AU. All related civil service procedures remain unaffected by AU academic rank titles including retirement, civil service status, and civil service titles. Academic rank, tenure, and promotion recommendations will be developed through a peer-review process. The minimum criteria for attaining academic rank are described below:

5.10.1.1. Instructor. A relevant master's degree from an accredited institution or equivalent experience and professional recognition; interest in and demonstrated or presumptive potential for effective teaching, scholarship, and service.

5.10.1.2. Assistant Professor. A relevant earned terminal degree from an accredited academic institution, an appropriate terminal professional degree, or equivalent experience and professional recognition; demonstrated or presumptive potential for effective teaching, scholarship, and service.

5.10.1.3. Associate Professor. A relevant earned terminal degree from an accredited academic institution or an appropriate terminal professional degree; evidence of sustained teaching effectiveness; evidence of appropriate scholarly activities (e.g., for the scholarship of discovery: publication of peer-reviewed professional journal articles, books, monographs, etc.; for the scholarship of application: publication of institutionally-reviewed policies, plans, strategies, etc.; for the scholarship of integration: publications of meta-analyses, literature reviews, articles for professional audiences, etc.); academic leadership and/or administrative activities for AU, USAF, DoD, and the scholarly community; and normally five to seven years of full-time University-level teaching at the academic rank of Assistant Professor. TIG or academic rank alone do not suffice for promotion to Associate Professor.

5.10.1.4. Professor. Promotion to Professor implies national or international recognition and significant contributions as a demonstrated leader in carrying out the AU mission. A relevant earned terminal degree from an accredited academic institution or an appropriate terminal professional degree; evidence of maturity as a scholar, including publication of peer-reviewed books, journal articles, and monographs; an established outstanding reputation in an academic discipline demonstrated through broad recognition of scholarship and service accomplishments across and beyond AU; and normally 10 to 12 years of full-time University-level teaching with a minimum of three years at the academic rank of Associate Professor. TIG or academic rank alone does not suffice for promotion to Professor.

5.10.1.5. Emeritus. An honorary rank which may be awarded to retiring faculty members who have attained the rank of Professor. Emeritus status does not confer additional benefits or considerations such as office space or research support.

5.10.1.5.1. Center Commanders and School Commandants may recommend to the AU/CC that eligible full-time civilian faculty members be awarded Emeritus status upon retirement.

5.10.1.5.2. Eligibility. Title 10 U.S.C. civilian faculty members who are retiring in the academic rank of Professor.

5.10.1.5.3. Standards. Candidates for the award of Emeritus status must have demonstrated over the course of a career at AU significant contributions to the DoD, DAF, and national security.

5.10.1.5.4. Process. See AFI36-116\_AUSUP.

5.10.2. Academic tenure at AU recognizes the continuing contributions to national security and air or space power education of select faculty members in the course of their careers.

5.10.2.1. Center Commanders and School Commandants may recommend to the AU/CC that eligible full-time civilian faculty members be promoted to the academic rank of Professor and be granted academic tenure.

- 5.10.2.1.1. Eligibility: Title 10 U.S.C. civilian faculty members who are promoted to the academic rank of Professor.
  - 5.10.2.1.2. Standards. Candidates for promotion to Professor/tenure must have a demonstrated and consistent record of excellence in teaching, scholarship, and service along with demonstrated leadership of the academic enterprise at AU.
  - 5.10.2.1.3. Process. See AFI36-116\_AUSUP.
- 5.10.2.2. AFIT policies and procedures for granting academic tenure appear in the Academic Rank Promotion and Tenure Committee's *Standing Rules* of the Graduate School's Faculty Council AFIT/CL will provide an annual summary of promotion and tenure decisions to AU/CAO.

## **5.11. Administrative Assignments.**

- 5.11.1. AU/CC, Center Commanders or School Commandants, may assign existing military or civilian faculty members temporary responsibility for academic administration and service. This includes the following positions: dean, associate dean, assistant dean, department chair, deputy department chair, program coordinator, and course director. Center Commanders and School Commandants should consult with the AU/CAO if they believe other positions qualify. All such assignments are made for a specified length of time. Upon concluding or being relieved of temporary administrative appointments, these individuals will normally resume previously assigned faculty duties.
- 5.11.2. In certain cases, AU/CC, Center Commanders or School Commandants, may hire faculty members with specialized skills into academic program administrative positions. All direct administrative faculty hires will hold academic rank and be qualified faculty members. If direct administrative faculty are relieved or seek relief from administrative assignments, they must compete for assignment to available faculty positions.
- 5.11.3. AFIT procedures for administrative assignments will be included in the AFIT Supplement to this instruction.

## Chapter 6

### STUDENTS AND STUDENT LIFECYCLE MANAGEMENT/ADMINISTRATION

**6.1. Purpose.** This chapter establishes roles, responsibilities, policies, and procedures for managing Air University Students. It aids commanders and administrators in assessing the quantities and quality of students who enroll in their program and remain accountable to the Air Force and the students to ensure a value-added experience.

#### **6.2. Roles and Responsibilities.**

##### 6.2.1. AU/CAO:

6.2.1.1. Oversees the development of processes that assess the quality of students admitted and enrolled in Air University programs

6.2.1.2. Through the Office of Academic Affairs, ensures AU policies pertaining to student lifecycle management are current and aligned with higher-level directives.

6.2.1.3. Develop, manage, and oversee a process to advise key Air Force leaders and decision makers on graduates' enhanced capabilities and potential for employment.

6.2.1.4. Develop and oversee a process to graduate placement to capitalize on education students received.

6.2.1.5. Develop, manage, and oversee a method to communicate to AFPC and/or HAF/A1 graduates' potential in the following four areas: research, writing, analytics achievement, and potential leadership as appropriate to program outcomes.

6.2.1.6. Oversee the preparation of HHQ reporting requirements.

##### 6.2.2. Center Commanders and School Commandants.

6.2.2.1. Develop processes and procedures to ensure a diverse classroom mix prior to the start of each program or course start based on the following criteria:

6.2.2.1.1. Program/enrolled: active, guard, reserve, sister services, international, civilian, contractor, interagency as applicable.

6.2.2.1.2. Number enrolled by seminar/section based on gender, ethnicity, AFSC, and Base

6.2.2.2. Develops and executes student awards program and processes for recognizing superior performers such as distinguished, top student, best paper, etc. Commanders are limited to recognizing the top 10% students of the program or course. Criteria for awards must be based on four areas: research, writing, analytics achievement, and potential leadership as appropriate to program outcomes.

6.2.2.3. Ensures students are briefed on the eligibility, criteria, and processes for award recognition.

6.2.2.4. Prior to the degree conferral, submit students' names with the name of the degree to the AU/CAO, AU/OAA, and AU/CC for concurrence and approval. The approval will be sent to the AU Registrar (AU/UR) to certify the transcripts/diplomas.

6.2.4. Additional responsibilities are established in subsequent paragraphs.



### 6.2.5. AU/Academic Services and A3.

6.2.5.1. Through the AU/UR, provides University level reports on student mix per school as required.

6.2.5.2. Through the AU Chief, Operations Plans and Programs (A3O), oversees production tracking for all AU programs.

6.2.5.3. Ensure student enrollment criteria is published in the Educational and Training Course Announcements (ETCA), the AU Catalog and corresponding websites.

6.2.5.4. Ensure AU REPM or SIS accurately reflects the following data points: Program/enrolled: active, guard, reserve, sister services, international, civilian, contractor, interagency by program or course.

6.2.5.5. Responsibilities and coordination processes for AFIT are described in the AFIT Supplement to this instruction.

## 6.3. Admission Policies.

6.3.1. AU undergraduate program applicants must have a high school diploma or equivalent and meet specialized criteria established by the degree program as published in the AU Catalog.

6.3.2. Enlisted Airmen and Guardians are admitted into the CCAF program upon completion of Basic Military Training (BMT) and/or classified into an Air Force Career Specialty Code (AFSC).

6.3.3. Civilian Airmen selected for the undergraduate degree program must meet requirements established by the Director, Manpower, Personnel and Services (AF/A1) and specialized degree admissions criteria as published in the AU Catalog.

6.3.4. International students approved for attendance at AU, to include non-credit bearing, non-degree programs, must meet educational, English-communications, security assistance, and preparatory course requirements established by the Deputy Under SecAF, International Affairs (SAF/IA).

6.3.5. AU graduate program applicants must have a bachelor's degree from an institutionally accredited institution of higher learning (or its equivalent) and be eligible for enrollment in the professional developmental education program associated with the degree.

6.3.6. Applicants for AU graduate degree programs for whom English is a Second Language (ESOL) must meet the applicable Test of English as a Foreign Language (TOEFL) requirements for the specific degree program unless exempt by Defense Security Cooperation Agency (DSCA) Policy 19-01. The policy title is *Country Exemption Policy for English Comprehension Level (ELC), Test of English as a Foreign Language (TOEFL), and Oral Proficiency Interview (OPI), Defense Security Cooperation Agency (DSCA)*.

6.3.7. AU places some students into provisional admission status when necessary to facilitate student progress into programs entered until all documentation required for full admission is received. Provisional admission status is not applicable to international students.

6.3.8. International students nominated for AU graduate degree programs must meet additional requirements established by the academic program coordinators published in the

AU Catalog and forwarded with annual Chief of Staff of the USAF (CSAF) invitations released by SAF/IA.

6.3.9. Students are responsible for submitting complete admissions applications to the Registrar in accordance with timelines established in the AU Catalog. AU/UR will notify academic program coordinators regarding the applicants' eligibility for the degree programs in accordance with established prerequisites in the AU Catalog.

6.3.10. Students nominated for AFIT graduate degree programs are required to meet the requirements established by the AFIT faculty as published in the AFIT Graduate School of Engineering and Management Catalog.

6.3.11. Students eligible for attendance at non-degree or non-credit bearing courses or programs (e.g., Professional Continuing Education (PCE), Professional Development Opportunities (PDO), PME, or Specialized Technical Training) are admitted through the schools, subject to completion of course prerequisites and availability.

#### **6.4. Degree Requirements.**

6.4.1. AU degree programs must embody a coherent field of study appropriate to higher education that is applicable to DAF mission requirements.

6.4.2. Undergraduate programs consist of general education and major field requirements. General education at the collegiate level must be a substantial component of the degree program, ensure breadth of knowledge, and demonstrate a coherent rationale. Undergraduate programs resulting in award of an associate degree must be comprised of a minimum of 60 semester hours. Undergraduate programs resulting in award of a bachelor's degree must be comprised of a minimum of 120 semester hours.

6.4.3. Students must complete coursework to satisfy the general education component of AU undergraduate degrees through civilian institutions or credit by exam.

6.4.4. General education will consist of at least 15 semester hours for associate degree programs and 30 semester hours for bachelor's degree programs. These credit hours will be drawn from and include at least one course from each of the following areas: communications, humanities/fine arts, social/behavior sciences, and natural science/mathematics.

6.4.5. Academic programs with a general education component must develop criteria to demonstrate the degree to which students have attained general education learning outcomes.

6.4.5.1. AU Undergraduate General Education Outcomes. AU undergraduate general education outcomes will be published in the AU Catalog.

6.4.5.2. All programs will establish and publish program learning outcomes (PLO) (required by **Chapter 8**) in the AU Catalog.

6.4.6. Masters and doctoral programs are progressively more advanced in academic content than undergraduate programs. Graduate programs provide curricula to include knowledge of the literature of the discipline and ensure ongoing student engagement in research and/or appropriate professional practice and training experiences. Graduate programs resulting in a master's degree must consist of a minimum of 30 semester hours. Doctoral programs must include a minimum of 60 or more semester hours beyond the bachelor's degree.

## **6.5. Tuition and Fee Charges.**

6.5.1. AU does not typically charge tuition or fees for individuals selected to attend an AU educational program. Individuals who participate in certain AU educational opportunities may incur tuition, related charges, or fees to themselves or their organizations.

6.5.2. AU programs and courses are funded by the DoD and DAF to support the education and training needs for military education—PME, PCE, and PDO. Individuals admitted, selected and/or assigned to a program or course may incur service time requirements subsequent to program or course completion. Individuals admitted, selected and/or assigned to a program or course may incur financial obligations for failure to complete the course or program.

6.5.3. AU/UR ensures that all educational programs have established and published written procedures to address any projected tuition, fees, or charges associated with attendance and participation in an educational program. AU/UR will ensure these procedures include any charges related to the verification of student identity.

**6.5. 4 AFIT tuition and fee procedures are described in the AFIT Supplement to this instruction, consistent with the applicable provisions of USC.**

## **6.6. Scheduling of Educational Programs.**

6.6.1. AU educational programs operate on a variable calendar for the scheduling and offering of courses. AU's standard educational calendar corresponds to the 12-month calendar established by the Secretary of Education in the Integrated Post-Secondary Data System (IPEDS). It starts on 1 July annually and ends on 30 June annually and is utilized to align AU processes, procedures, reporting, etc. AU's educational programs schedule course offerings and delivery times under AU's standard calendar, but may utilize a FY, CY, Semesters, or Quarters for the actual program level scheduling and offering of courses. AU uses the Department of Education's 12-month academic calendar definition of 1 July to 30 June for data reporting.

6.6.2. AU/CAO and A3 oversees the scheduling of AU Education Programs and is the waiver authority for changes once the annual schedule is approved. See [Chapter 13](#).

6.6.2.1. AU/CAO and A3 will task all schools to provide academic schedules for the following year in February/March of the current year.

6.6.2.2. A3O will ensure the schedule allows for maximum use of base lodging facilities.

6.6.3. Center Commanders, School Commandants, and academic program coordinators will coordinate with AU/UR to ensure programs are scheduled appropriately.

6.6.4. AFIT scheduling processes are described in the AFIT Supplement to this instruction.

## **6.7. Enrollment, Withdrawals, and Disenrollment.**

### **6.7.1. Enrollment.**

6.7.1.2. In accordance with the Air Force's Core Value of excellence, students commit themselves to and strive for maximum learning from the AU educational opportunities they have been provided.

6.7.1.3. Personnel (students) who apply, are assigned or selected must meet the eligibility criteria established in the AU Catalog, ETCA, and have submitted all required documentation, are then considered for enrollment in applicable AU programs.

6.7.1.4. Students selected to attend programs in residence are enrolled in full-time status as students. Students enrolled in non-resident programs can be either in full-time or part-time status. The student must complete their academic course work without adversely affecting the performance of their primary duties.

6.7.1.5. AFIT enrollment categories are described in the AFIT Supplement to this instruction.

#### **6.7.2. Withdrawal and Disenrollment.**

6.7.2.1. Center Commanders and School Commandants will consult as required with AU/CAO, AU/UR, AU/JA, AU/RF, AU/CG, and AU/IA before initiating actions that could result in the withdrawal or disenrollment of students from assigned programs.

6.7.2.2. Center Commanders and School Commandants will address requests to withdraw from a program on a case-by-case basis.

6.7.2.3. Center Commanders and School Commandants will recommend appropriate options according to governing DoD and Air Force policies for students who withdraw from educational programs to continue pursuing force development education with minimal impact on their careers.

6.7.2.4. AU/UR will provide administrative support for processing disenrollment/withdrawal records and notifying the appropriate human resource agency of any/all withdrawals.

6.7.2.5. Disenrollment is the removal of any enrolled AU student from a course, program, School, or Center prior to the completion of course or program requirements. Disenrollment is an administrative action that may include removal from a course, removal from a program, removal from the institution, or expulsion; expulsion is the student's physical removal from AU schools as well as disenrollment from academic programs.

6.7.2.6. AU Center Commanders and School Commandants will establish and publish procedures for conducting investigations and processing disenrollments from individual programs.

6.7.2.7. Disenrollment may result in further administrative or disciplinary actions, including employment or retention reviews.

6.7.2.8. AU leaders will carefully consider the effects of disenrollment on an individual's career. Commanders will pursue other appropriate actions, when warranted, concurrent with disenrollment reviews/decisions.

6.7.2.9. Holm Center disenrollments will be accomplished under the provisions of DoDI 1215.8, *Senior Reserve Officers' Training Corps (ROTC) Programs*, AFMAN 36-2032, *Military Recruiting and Accessions*, AFI 36-2406, *Officer and Enlisted Evaluation Systems*, and AFMAN 36-2012, *Record of Disenrollment from Officer Candidate-Type Training*.

6.7.2.10. Before initiating disenrollment actions against an international student, Center Commanders and School Commandants will notify AU/IA and other agencies as required, so they can make additional notifications as required by AFI 16-105, *Joint Security Cooperation Education and Training*. Final approval of recommendations to remove international students rests with SAF/IA.

6.7.2.11. Procedures for requesting re-enrollment into a pre-commissioning program are addressed in AFMAN 36-2032.

6.7.2.12. AFIT withdrawal and disenrollment procedures are described in the AFIT Supplement to this instruction.

### 6.7.3. Administrative Disenrollment.

6.7.3.1. There are three general reasons for disenrolling a student from an AU program:

6.7.3.2. Administrative disenrollment is typically no fault of the student or the school and is the result of a mutual agreement by all parties (the school, the student, and the student's unit). Administrative disenrollment may result from various reasons including recall by the unit, some condition beyond the student's control, medical issue, emergency, failing to meet eligibility requirements, separation or retirement, or failure to meet or maintain Air Force fitness standards. The AU Form 747, *Record of Administrative Action*, is used to document disenrollment decisions made by Center or School Commanders or their designees.

6.7.3.3. If a student fails to meet minimum performance standards established for a program. Inherent in any decision involving academic disenrollment is the assumption that (1) academic performance standards are articulated by the school/college, and (2) failure of the student to meet standards have been thoroughly documented by faculty. In cases of academic disenrollment, Center and School leaders must indicate whether the academic disenrollment is "with prejudice" (allowing for no return to the academic program), or "without prejudice (return permitted in some form). The AU Form 747 is used to document disenrollment decisions made by Center Commanders or School Commandants.

6.7.3.4. Students who fail to make satisfactory academic progress (e.g., fail to fulfill academic requirements within allotted time) may be academically disenrolled.

6.7.3.5. Students may appeal academic disenrollment decisions following established procedures for the program in which they are enrolled. The student may submit written documentation appealing the disenrollment decision to the Commander issuing the disenrollment decision. The student also may submit a written request for a personal appearance before the Commander. US military students may consult with the Area Defense Counsel (ADC). The ADC may also assist foreign military students on a space-available basis.

6.7.3.6. Misconduct disenrollment occurs when there is sufficient evidence of violations of standards of integrity, professionalism, character, or ethics for the School or Center Commander to remove a student from a program. The AU Form 747 is used to document disenrollment decisions made by Center Commanders or School Commandants or their designees.

6.7.3.7. When the nature of a student's misconduct violates standards of behavior and/or integrity expected of DoD and Air Force professionals, Commanders will pursue misconduct disenrollment with prejudice (no return to academic program). When warranted, commanders will pursue other appropriate disciplinary actions concurrently with disenrollment. Violations by students enrolled in AU non-resident (Distance Learning) programs shall be reported by Center Commanders and School Commandants to the student's Commander for appropriate disciplinary action.

6.7.3.8. Pending disenrollment proceedings, Center Commanders and School Commandants may suspend students being considered for disenrollment.

6.7.3.9. Students may appeal disenrollment-with-prejudice decisions following established procedures for the program in which they are enrolled. The student may submit written documentation appealing the disenrollment decision to the Commander issuing the disenrollment decisions. The student also may submit a written request for a personal appearance before the Center Commander or School Commandant. U.S. military students may consult with the ADC. The ADC may also assist foreign military students on a space-available basis.

6.7.3.10. Commanders who elect to disenroll students from a program must choose whether to revoke credits earned for individual courses prior to the misconduct leading to disenrollment. Revocation is the process of rescinding academic credit, program completion, and/or degree status. Revocation is appropriate when the misconduct or other deficiency occurred during the program's term but was not discovered until after program completion.

6.7.3.11. The AU/CC is the sole authority for revoking a conferred AU degree. Center Commanders and School Commandants will submit a recommendation for revoking the degree through the AU/CAO to the AU/CC.

6.7.3.12. Center Commanders and School Commandants will submit requests to revoke credits earned prior to degree completion to AU/CAO. AU/CAO will coordinate with AU/UR to ensure official transcripts reflect revoked credits.

6.7.3.13. Center Commanders and School Commandants will take prompt action to return TDY students to their home units, to have permanent change of station (PCS) students reassigned or discharged, and to document the disenrollment action in the student's personnel file. All training reports will clearly state explicit reasons for disenrollment.

6.7.3.14. AU/UR will ensure transcripts accurately reflect contact hours or semester hours earned to the point of administrative disenrollment.

6.7.3. 15 AFIT administrative disenrollment procedures are described in the AFIT Supplement to this instruction.

## **6.8. Records of Enrollment and Scholastic Achievement.**

6.8.1. Contact Hours and Credit Hours. AU employs the definition of contact and credit hour from 34 CFR § 600.2 for credit-bearing and non-credit-bearing programs. Courses that are part of an approved degree-granting program result in academic credit hours. Courses that are not part of an approved degree-granting program result in contact hours.

6.8.2. Academic program coordinators, or appropriate designee, will validate the numbers of contact (Clock) hours or credit hours for their respective programs with AU/OAA and AU/UR offices each year through their AU Catalog submission describing their program offerings. If contact or credit hours change, notify AU/OAA immediately.

#### 6.8.3. Contact (Clock) Hours.

6.8.3.1. Contact hours are 50 to 60 minutes of instruction and are the basic unit of attendance. Credit hours are computed using contact hours and clock hours consisting of:

6.8.3.1.1. A 50 to 60-minute class, lecture, or recitation in a 60-minute period.

6.8.3.1.2. A 50 to 60-minute faculty-supervised laboratory, shop training, or internship in a 60-minutes period.

6.8.3.1.3. A 60-minute preparation in a correspondence course.

#### 6.8.4. Credit Hours.

6.8.4.1. Credit is a unit of measure assigned to courses or course equivalent learning. Credit is awarded if the learning activity it represents is part of an organized and specified program leading to a degree. Credit is a device that indicates to the learner, to educational institutions, to the military community and other how much of the program is completed during the allotted time. The credit awarded may be independent of where the learning occurs.

6.8.4.2. Credit hours are computed using contact hours. The ratio between credit hours and contact hours depends on the type of coursework or method of delivery and is defined as follows:

6.8.4.2.1. In general usage, the term direct instruction refers to (1) instructional approaches that are designed, developed, delivered, and assessed by qualified faculty and/or (2) the presentation of academic content to students by faculty, such as in a lecture or demonstration. In other words, teachers are “directing” the instructional process, or the instruction is being “directed” at students.

6.8.4.2.2. Direct faculty instruction (e.g., lectures, discussion seminars, case analyses, films, exams, and supervised instructional experiences in online, hybrid or face-to-face environments): one contact hour equals 50-60 minutes of scheduled direct faculty instruction [1:1], along with a minimum of two hours of Personal Study and Preparation Time (PSPT).

6.8.4.2.3. One hour of classroom or direct faculty instruction and a minimum of two hours of out of class student work each week for approximately 15 weeks for one semester or trimester hour of credit, or ten to twelve weeks for one quarter hour of credit, or the equivalent amount of work over a different amount of time.

6.8.4.2.4. At least an equivalent amount of work as required in [paragraph 6.9.4.2.2](#) of this definition for other academic activities as established by the institution including laboratory work, internships, practicum, studio work, and other academic work leading to the award of credit hours.

6.8.4.2.5. Experienced-based learning activities (e.g., student decision exercises, unsupervised labs, wargames, simulations, field exercises and practical exercises). One contact hour equals 120 minutes of scheduled experiential learning [1:2].

6.8.4.2.6. Directed research projects (e.g., independent research projects and professional papers). One contact hour equals 180 minutes of scheduled research or mentoring time [1:3].

6.8.4.2.7. Events such as travel, social events, and administrative duties (e.g., field trips, dinner, sports activities, in-processing, orientation) will not be included in the computation of contact hours.

6.8.4.2.8. Non-credit blocks of instruction will not be included in the computation of total contact hours.

6.8.5. AFIT procedures for maintaining records of enrollment and scholastic achievement are described in the AFIT Supplement to this instruction.

## **6.9. Practices for Awarding Credit.**

### **6.9.1. Academic Credit Award.**

6.9.1.1. AU awards credit in all degree-granting academic programs regardless of delivery method using the same general approach. A credit hour is the amount of work represented in achieving intended learning outcomes verified by evidence of student achievement. All credit-bearing programs will conform to the following method for computing credit hours. It is an institutionally-established equivalency that reasonably approximates the following:

6.9.1.1.1. A credit hour consists of 45 instructional contact hours. Contact hours may consist of classroom, direct faculty, or self-paced instruction and out of class student work. An equivalent amount of work for other academic activities including laboratory work, wargames, field studies, practicum, independent research and writing, and other academic work will lead to the award of credit hours.

6.9.1.1.2. Semester credit hours will be computed using one hour of direct instruction or self-paced instruction plus a minimum of two hours of out-of-class student work each week, for approximately 15 weeks results in an average of 45 instructional contact hours. *For example, [1-hour direct instruction p/week x 15 weeks = 15 instructional hours] + [2 hours out-of-class student work p/week x 15 weeks = 30 hours] = 45 hours instructional hours (minimum for 1 credit).*

6.9.1.1.3. Quarter hour credits will be computed using one hour of classroom, direct faculty, or self-paced instruction, plus a minimum of two hours of PSPT each week, for approximately 10 to 12 weeks.

6.9.1.1.4. Academic credit can only be granted for noncredit coursework if (1) the subject matter and nature of the noncredit coursework is deemed as appropriate for academic credit; (2) the noncredit or PCE coursework has been examined for content and level, and (3) a formal recommendation is made by academic authorities (faculty, dean, department chair, etc.) based on an agreed credit equivalency for non-credit bearing instruction conversion formula. A conversion must be based on a sound educational rationale and an objective conversion formula. Guidelines for



implementation of this policy shall be reviewed and approved by AU/CAO or AFIT/CAO, as applicable.

#### 6.9.2. **Nontraditional Credit Award.**

6.9.2.1. Awarding credit for nontraditional learning (accelerated path) equivalent to courses or program outcomes that meet requirements for a degree will not exceed 75% of the credit for that degree. Nontraditional credit sources include but are not limited to the following:

##### 6.9.2.1.1. Standardized Test Scores.

6.9.2.1.1.1. The College Level Examination Program (CLEP) is the most widely accepted credit-by-examination program. A minimum of a passing score is required.

6.9.2.1.1.2. Defense Activity for Nontraditional Educational Support (DANTES)/DANTES Subject Standardized Tests (DSST) credit by exam program allows airmen to receive college credit for life experience and knowledge and skills acquired outside of a traditional classroom which includes learning from job experience, independent study, private reading, and hobbies. A minimum of a passing score is required.

##### 6.9.2.1.2. Evaluation of sponsored instruction in a non-college setting.

6.9.2.1.2.1. The American Council on Education's (ACE) College Credit Recommendation Service (CREDIT) connects workplace learning with colleges and universities by helping adults gain access to academic credit for formal courses and examinations taken outside traditional degree programs. It provides a recommended passing score, amount of recommended credit, and academic level of the recommended credit.

6.9.2.1.2.2. CCAF Affiliation Agreements. Schools having CCAF affiliation agreements must comply with all AU policies and procedures, to include credit awarding policy, in order to be eligible for the award of academic credit for their programs.

##### 6.9.2.1.2.3. Assessment of Credit for Military Training.

6.9.2.1.2.3.1. Prior Learning Assessments (PLA) provide an opportunity to earn credit for learning outside the confines of a traditional classroom. PLAs require approval and institutional guidelines. Contact AU/OAA for additional information.

6.9.2.1.2.3.2. Awarding credit for earned badges, micro-credentials, and other experienced base credentials requires formal approval by AU/CAO and AU/CAA in advance.

##### 6.9.2.1.2.4. Specialized Licensures/Certifications.

6.9.2.1.2.5. Demonstration of college-level learning through the portfolio review.

6.9.2.1.2.6. Special assessment of specialized licensure, certification, and formal training programs.

6.9.2.3. AFIT procedures for nontraditional credit award are described in the AFIT Supplement to this instruction.

## **6.10. Auditing Courses.**

6.10.1. The primary focus of AU faculty is to teach students formally enrolled in their respective programs. On a non-interference basis, AU Faculty are authorized to allow AU affiliated individuals (limited to active duty members and federal civilians employees) to audit courses with the prior approval of the Dean or Program Coordinator under the following conditions:

6.10.1.1. Potential auditors must coordinate with the course instructor for permission to audit an elective course. Course instructors may terminate a student's auditing opportunity at any point during an elective course. Schools may choose to publicize their available audit courses; determining whether, how, and when to do so is at the discretion of the schools.

6.10.1.2. Priority for available seats will go to students who are enrolled in the degree programs. Elective courses must have sufficient numbers of AWC and/or ACSC students to justify offering the course; they may not be offered solely to meet requests of audit students.

6.10.1.3. Course instructors will provide syllabi for their course, but auditors are responsible for sourcing and providing their own copies of the course materials. The degree of desired participation in discussions and class deliverables should be negotiated between instructor and auditor prior to joining the class. Auditors will generally not be included in electronic systems (e.g., Student Information Systems, Learning Management Systems, and Network Drives), unless they already have the required access. Instructors will reconcile these situations on an as-needed basis.

6.10.1.4. Students who are not enrolled in the programs will not receive graduate credit. Instead, they may request a transcript from the AU/UR indicating that they audited the course. Attendance policies for auditing students will be consistent with established school policies, or as negotiated with the course instructor.

6.10.1.5. Students auditing courses will comply with University academic freedom, integrity, and professional conduct policies. If necessary, course instructors will elevate any problems with auditing students through command channels.

6.10.1.6. Deans of the respective programs will submit a roster of students who successfully audited courses to the AU/UR to ensure appropriate record-keeping systems remain accurate.

6.10.2. AFIT procedures for auditing courses are described in the AFIT Supplement to this instruction.

## **6.11. Transcription and Acceptance of Transfer Academic Credit.**

6.11.1. AU has the primary responsibility for maintaining academic quality and integrity of all academic credits before transcription or award by AU no matter the source of the credit—AU courses, transferred courses, credit-by-examinations, and assessments of prior learning.

6.11.2. AU will analyze credits requested for transcription in terms of level, content, quality, comparability, and degree program relevance.

6.11.3. Students may request previously completed academic credits be applied to the requirements of an AU degree program. AU/OAA and academic program coordinators will establish processes to evaluate requests for transfer credit ensuring the integrity of program outcomes and mission requirements for individual academic programs. To be eligible for transfer, the credit must meet the following criteria:

6.11.3.1. Completed at an accredited institution of higher education. For undergraduate programs AU will not transfer credits for grades below a “C”. For graduate programs AU will not transfer credits for grades below a “B.”

6.11.3.2. Credits completed at a foreign institution of higher education AU/UR will review the course-by-course evaluation by a recognized credential evaluation service (e.g., American Association of College Registrar and Admissions Officers, National Association of Credentials Evaluation Services, Association of International Credential Evaluators) when submitted by the student.

6.11.3.3. Credit will be considered for course work taken at institutions which are accredited by an agency recognized by the U.S. Department of Education, based on the following criteria:

6.11.3.3.1. Content reflects successful completion of degree-level student learning outcomes and objectives.

6.11.3.3.2. Quality consistent with higher education standards.

6.11.3.3.3. Comparable to courses at peer institutions of higher education.

6.11.3.3.4. Relevant and applicable to a requirement of the AU degree program to which the individual is applying for admission.

6.11.3.3.5. Credit for courses taken at either accredited colleges and universities or non-accredited institutions requires the appropriate faculty credentials. Awarding credit for a non-accredited institution will be evaluated on a course-by-course basis.

#### 6.11.4. **Transfer Credit Review.**

6.11.4.1. Earned hour credit is generally allowed for course work completed at an accredited institution.

6.11.4.2. AU accepts the transfer of credits earned at other higher education institutions based on course equivalency. Course equivalency is the determination that a course taken at another institution is in line with the degree program in terms of objectives, learning outcomes, and educational level. Refer to the criteria in [6.11.3.3.1](#) through [6.11.3.3.5](#).

6.11.4.3. The course work delivery mode has no relevance in evaluating course equivalency.

6.11.4.4. Academic programs may designate a maximum age for credits to be accepted to fulfill program requirements.

6.11.4.5. General education and free elective credits, if applicable, do not expire.

6.11.4.6. Students must be matriculated at AU to have transfer credits entered into their academic records.

**6.11.5. Process to Award and Evaluate Transfer Credit.**

6.11.5.1. The evaluation process to determine transferability of course work begin in the Registrar's Office (AU, CCAF, CADP) with an evaluation of the official academic transcript provided by the institution(s) where the credit was awarded.

6.11.5.2. Once the Registrar receives the official transcript, the course work will be evaluated within 120 days.

6.11.5.3. Determination of course transferability entails reviewing the course description by program chairs, appropriate faculty, or dean to determine if course content and objectives are equivalent to the course expectations. When necessary, other relevant documentation may include the syllabus, exams and assignments, faculty credentials, and other related learning requirements.

6.11.5.3.1. Use criteria in [6.11.3.3.1](#) through [6.11.3.3.5](#) to evaluate course work.

6.11.5.3.2. The transfer of course work routing approval includes (1) school/center dean, (2) department chair, (3) faculty, (4) AU/UR, and (5) Chief of Academic Affairs and Accreditation and Chief Academic Officer.

6.11.5.4. The Chief of Academic Affairs and Chief Academic Officer will make the final decision as the acceptability of denied course work and responsible for modifications to the policy.

6.11.5.5. All hard-copy documents and completed paperwork for transfer credits are maintained on file in the Registrar's Office.

**6.11.6. Process to Award Credit-by-examination sources.**

6.11.6.1. Students requesting to apply credits derived from credit-by-examination sources must meet the following:

6.11.6.2. Completed through DSST/DANTES, CLEP, the College Board, Excelsior College, and the Defense Language Proficiency Test with a passing score, as well as relevant equivalencies.

6.11.6.3. Content reflects completion of AU program degree-level student learning outcomes.

6.11.6.4. Quality consistent with higher education standards.

6.11.6.5. Comparable to courses at peer institutions of higher education.

6.11.6.6. Relevant and applicable to a requirement of the AU degree program to which the individual is applying for admission.

**6.11.7. Process to Award PLA (Prior Learning Assessment) Credit .**

6.11.7.1. Schools considering awarding credit for earned badges, micro-credentials and other experience-based credentials will contact AU/CAA before moving forward. Approval to award badges, micro-credentials, or PLA credit may require approval from the appropriate accrediting agency prior to implementation.

6.11.7.2. Guidelines on assessing credit for prior learning must be reviewed and approved by AU/CAO. A new program designed for prior learning is subject to notification and approval.

#### **6.11.8. Educational Agreements.**

6.11.8.1. AU may establish Articulation, Academic Cooperative Agreements, or Transfer Agreements with other educational institutions of higher learning or with federal institutions of higher learning to facilitate effective and seamless transfer of academic credits. AU/OAA and AU/UR will oversee and document all agreements to ensure appropriate substantive change documentation is approved by the appropriate accrediting agency prior to implementing such agreements.

6.11.8.2. The AU/CAO is responsible for ensuring the quality and integrity of the courses and/or programs offered through such arrangements. Cooperative academic arrangements require accrediting agency notification. The signed agreement must be submitted to the appropriate accrediting agency before initiation

6.11.8.3. Articulation, Academic Cooperative Agreements, or Transfer Agreements into AU establish the course(s) at the partner institution that are applicable to an AU degree program requirement and will be accepted by AU.

6.11.8.4. Articulation, Academic Cooperative Agreements, or Transfer Agreements from AU to peer institutions establish the course(s) at AU that are applicable to a degree program requirement at the peer institution.

6.11.9. AFIT procedures for transcription and acceptance of all categories of transfer academic credit are described in the AFIT Supplement to this instruction.

#### **6.12. Grading.**

6.12.1. Course grades and quality points are based on a standard four-point system that incorporates “plus” or “minus” grades. Pass/Fail grades may be assigned based on Center or School policies.

6.12.2. Establish grading scales that provide meaningful differential of student performance based on the intended program outcomes.

6.12.3. Center Commanders, School Commandants, and academic program coordinators will identify any policies on the application of a Pass or Fail grade to courses within their programs.

6.12.4. AU/UR will ensure the publication of the approved grading symbols and associated quality points are listed in the AU Catalog.

6.12.5. Center and School publications of grading or grade scales must be consistent with the approved AU grading scale.

6.12.6. AU’s course numbering system includes a course prefix identifier associated with a program and a numeric identifier unique to the course.

6.12.7. Center Commanders and School Commandants will coordinate with AU/UR to ensure all course offerings comply with the established AU course-numbering system.

6.12.8. AU/UR establishes and publishes the approved AU course-numbering system.

6.12.9. AFIT procedures for grading and related topics in this section are described in the AFIT Supplement to this instruction.

### **6.13. AU Verification of Student Identity and Protection of Student Privacy.**

6.13.1. AU is committed to ensuring the academic integrity of its educational programs regardless of the means of delivery. AU is also committed to the protection of student information and privacy in all of its educational programs.

6.13.2. Center Commanders and School Commandants ensure that AU's academic integrity policy is applied to all educational programs including distance-learning delivery.

6.13.3. AU faculty and support staff ensure that a student who registers for a distance learning program is the same student who participates in and completes the course or program, and who subsequently receives credit.

6.13.4. AU administrators, faculty, and staff adhere to the requirements of the Privacy Act of 1974 and AU internal procedures to protect the student's information and privacy.

6.13.5. AU utilizes secure log in, proctored examinations, and other means to verify student identity and protect student privacy for all educational programs.

6.13.6. AU utilizes the Common Access Card (CAC) IAW DoDI 1000.13, *Identification Cards for Members of the Uniformed Services, Their Dependents, and Other Eligible Individuals*. The CAC serves as an identification card and an access card for facilities, computer systems, and networks.

6.13.7. Center Commanders and School Commandants maintain test control policies and procedures (e.g., test logs, test monitors) to ensure the integrity of the program's evaluation instruments.

6.13.8. AU uses several measures to ensure the security of a student's login information in addition to the CAC. AU requires students to enroll in its educational programs through the USAF network on the .mil domain which requires a CAC and associated password. AU also requires faculty and staff to utilize a unique, ten-digit alpha numeric password for access to online tests or examinations. Additionally, AU requires students, faculty, and staff to adhere to DoD and Air Force guidelines on access and use of networks, computer systems, and software requiring unique user identities and strong passwords. Alternative means of identification will be established for students who do not possess a CAC.

6.13.9. AFIT procedures for verification of student identity and protection of student privacy are described in the AFIT Supplement to this instruction.

### **6.14. Disabilities, Accommodations, and Health Conditions.**

6.14.1. AU complies with applicable federal, DoD, and DAF policies on providing reasonable accommodations for qualified individuals with disabilities.

6.14.2. AU Center Commanders and School Commandants will establish policies in accordance with governing federal, DoD, and DAF policies and instructions to accommodate students with disabilities, who experience health conditions or other limiting conditions requiring accommodations or interruptions in the normal academic schedule (e.g., recovery from surgery, prolonged medical treatment, or parental leave).

6.14.3. Students must formally request accommodation by providing documentation establishing the condition, impairment level, or disability that limits academic performance.

6.14.4. Center Commanders and School Commandants will consult with AU/CAO, AU/JA, and host support wings to evaluate and recommend reasonable accommodations for students requesting alterations not previously covered under Computer/Electronic Accommodations Program (CAP) to existing curriculum delivery practices based on disabilities and other limiting conditions.

6.14.5. In some circumstances, AU, Center Commanders, or School Commandants may request that the student's sponsoring unit cover the costs associated with certain accommodations.

6.14.6. AFIT procedures for addressing disabilities, accommodations, and health conditions are described in the AFIT Supplement to this instruction.

## Chapter 7

### STUDENT RIGHTS, RESPONSIBILITIES, AND GRIEVANCES

**7.1. Purpose.** Describes AU policy regarding student rights, responsibilities, complaints, and grievances that comply with federal requirements and/or best practices in higher education. The University's authority related to student rights, responsibilities, and grievances extends to all programs and organizations within the University enterprise. The rights, responsibilities and processes described in this policy do not replace or supersede procedures provided for actions under the Uniform Code of Military Justice, or disciplinary or administrative actions provided for in other DoD directives, or instructional documents published by the AETC. The term "student" refers to any individuals enrolled in any AU programs in this instruction. The terms "cadet" and "trainee" refer to individuals enrolled in Holm Center programs. Student rights and responsibilities outlined below apply to Holm Center cadets/trainees. Holm Center's formal complaints and grievances will be accomplished using processes tailored to the training environment. AFIT processes for implementing the principles in this chapter will be described in the AFIT Supplement to this instruction.

#### **7.2. Roles and Responsibilities.**

##### 7.2.1. AU/CAA, as delegated by AU/CAO:

7.2.1.1. Develop, coordinate, and publish policies related to student rights, responsibilities, and grievances.

7.2.1.2. Coordinate with JA and IG, and other pertinent organizations to help resolve any formal written complaints or grievances related to academic programs filed through legal or inspector general channels.

7.2.1.3. Maintain a log of formal written student academic complaints and grievances in accordance with federal accreditation requirements.

##### 7.2.2. Center Commanders and School Commandants:

7.2.2.1. Publish guidance for students regarding submitting academic grievances or complaints. Guidance will be published and readily available in documents such as student handbooks, course syllabi, and published instructions. Brief students on Day 1 of each course.

7.2.2.2. Designate an administrator to oversee, manage, and report on formal written complaints and grievances.

7.2.2.3. When presented with a formal written complaint, faculty and staff attempt to resolve the complaint in a timely manner at the lowest level of organizational authority.

7.2.2.4. Will retain documentation of formal written complaints and their resolution for five years and submit to AU/UR for permanent disposition.

7.2.2.5. Will provide documentation of formal written complaints and grievances to AU/OAA annually and will review the complaints from the past two years in the Commander's Mission Analysis and Review (CMAR). (See [Chapter 9](#) for details on the CMAR process.)



7.2.3. Students enrolled in AU programs are afforded certain rights that enhance the educational environment and support learning effectiveness including, but not limited to:

7.2.3.1. Freedom from discrimination on the basis of race, gender, color, religion, sexual orientation, age, and national origin.

7.2.3.2. Freedom from sexual harassment.

7.2.3.3. Freedom to engage in intellectual discourse and scholarship.

7.2.3.4. Freedom to submit formal written complaints on AU policies, procedures, or actions through the AU chain of command.

7.2.3.5. Access to due process IAW AFI 90-301, *Inspector General Complaints Resolution*, and applicable DoD and AF instructions.

7.2.4. Students enrolled in AU programs have a responsibility to:

7.2.4.1. Abide by appropriate military, department, or agency rules, regulations and standards of conduct.

7.2.4.2. Abide by AU academic policies and procedures, and those of the school or course in which they are enrolled.

7.2.4.3. Respect the opinions and rights of other students, as well as of faculty and staff.

7.2.4.4. Adequately prepare for each class.

7.2.4.5. Comply with AU academic integrity policies.

7.2.5. A complaint is defined as a formal written submission by a student related to a grievance against a school, a program, or the University.

7.2.5.1. Before making formal written complaints, students are encouraged to seek resolution by discussing grievances or complaints informally at the lowest appropriate level within the organizational chain of command.

7.2.5.1.1. Students may seek the assistance of student-government leaders if such an organization exists within their program.

7.2.5.1.2. Students who are uncertain about how to resolve concerns may seek advice from AU/A3 and/or AU/OAA.

7.2.5.1.3. AU personnel do not have to maintain official records of informal complaints.

7.2.6. To pursue a formal complaint, students must notify the appropriate level in the chain of command in writing using the AU Form 6, *Student Complaint/Grievance Application*, in accordance with the guidance established by the applicable School or Center.

7.2.6.1. Formal written complaints must be submitted within one 1 month of the occurrence of the action or matter in question or in accordance with policies established by Center Commanders or School Commandants.

7.2.6.2. Students may choose to submit complaints through the IG but are encouraged to work within the Center or School program to resolve academic program-related issues.

7.2.6.3. Center Commanders and School Commandants are responsible for answering all complaints or grievances originating within their program(s). Students may appeal decisions to the AU/CC.

7.2.6.4. Disciplinary issues and professional conduct issues must be adjudicated through the appropriate disciplinary or legal processes rather than through academic complaint and grievance processes.

## Chapter 8

### CURRICULUM PLANNING, EVALUATION, AND REPORTING PROCESSES

**8.1. Purpose.** Establish roles, responsibilities, and policy for administering all instructional and non-instructional programs. To establish integrated curricula planning, evaluation, and reporting processes at the program level that support the AU Institutional Planning Model ([Figure 2.1](#)) AFIT processes for implementing the principles in this chapter consistent with HLC accreditation and other requirements will be described in the AFIT Supplement to this instruction.

#### **8.2. Roles and Responsibilities.**

8.2.1. Chief of Academic Affairs as delegated by AU/CAO:

8.2.1.1. Establishes University-level curriculum planning, evaluation and reporting policies and standards to ensure academic quality and rigor in support of DoD, DAF, Joint, and accreditation specialized standards and requirements.

8.2.1.2. Monitors/ensures compliance with DoD, CJCS, and institutional accreditation standards through the Inspector General's process that includes the Commander's Mission Analysis and Review (CMAR).

8.2.1.3. Serves as the primary AU curriculum requirements and content liaison between AF/A1D, Functional Area Managers (FAMs), AETC, and Center and School Academic Program Coordinators.

8.2.1.4. Manages the process to develop, modify, or change a credit or noncredit bearing program on behalf of AU/CAO and AU/CC.

8.2.2. AU Center Commanders and School Commandants:

8.2.2.1. Oversee the development and execution of Centers/Schools policies necessary for the efficient and effective development, execution, and assessment of high quality and rigorous curriculum.

#### **8.3. Instructional Program Design, Evaluation and Management Policy.**

8.3.1. AU Centers and Schools will:

8.3.1.1. Use the Commander's Self-Assessment Program (CSAP) to assess program execution, faculty, academic support services, student achievement and general administration annually.

8.3.1.2. Design and execute outcome-based military education (OBME) programs using direct measures of student learning to assess the achievement of established program outcomes.

8.3.1.3. Ensure educational programs follow best practices for systematic curriculum design, development, delivery, instructional methodology, and assessment. [Attachment 4](#), *Air University Requirements and Standards Crosswalk*, is provided as an example.

8.3.1.4. Assess all program outcomes annually using direct measures of learning to infer the degree established program outcomes were met. [Attachment 3](#), *Program Assessment Record*, is provided as an example.

8.3.1.5. Analyze key assessments (Direct and Indirect) annually for validity and reliability. **Attachment 6**, *Curriculum Map and Key Assessments*, is provided as an example.

8.3.1.6. Ensure all changes to academic programs are documented via a closed-loop process to include the supporting evidence, analysis, and decision pertaining to the change. **Attachment 3** is provided as an example to document and report results.

8.3.1.7. Report prospective program changes, modifications, or new initiatives to AU/OAA. Prior to formal coordination and before preparing submit AU Form 54, *Emerging Programmatic Initiatives for Change (EPIC) Worksheet*, to OAA.

8.3.1.8. Ensure that faculty and instructional system specialist/designers have the primary responsibility for converting DoD, Joint, and DAF requirements into a cohesive learning experience.

#### **8.4. Process to Develop, Modify, or Change a Credit or Noncredit Bearing Program.**

8.4.1. Program modifications, including expanding in-residence programs to be offered in an online or hybrid format, and the phase-out of programs must be reviewed internally and externally. To facilitate AU's ability to adapt to change or emerging requirements, Centers/Schools with emerging program initiatives will contact AU/OAA immediately for guidance. Use AU Form 54 to provide AU/OAA with sufficient data to provide further guidance. Refer to AU Form 54 for an exhaustive list of programmatic changes requiring higher-level coordination and approval.

8.4.1.1. Upon receipt of notification and completion of **Attachment 3**, AU/OAA will work with schools and programs to complete the required staffing package, conduct informal coordination with affected agencies and liaison with external agencies if required.

8.4.1.2. Establish a new concentration, focus study, or certificate. Creation of concentrations in existing graduate, undergraduate, PME, and PCE will be documented using AU Form 50, *Request to Create or Change a Concentration*, and routed through the chain of command.

8.4.1.3. Launching a new course/program or modifying an existing course/program (including a name change or any change that alters the Air University Catalog course database or impacts a supporting agency.) New and modified programs and courses will be documented using AU Form 51, *Air University Course Assessment*, and routed through the chain of command. The curriculum, syllabi, lesson plan, and AU Form 52, *Education and Training Course Announcement (ETCA) Worksheet*, must accompany this form.

8.4.1.4. The ETCA and the AU Catalog provide access to program and course eligibility criteria, application processes, and timelines for all AU degrees and non-degrees programs. IAW AFI 36-2670, AU Form 52, is required to publish and promote offerings.

8.4.1.5. Substantive Change Prospectus.

8.4.1.6. SACSCOC substantive change policy and procedures assure that all aspects of AU continue to meet established standards. Substantive change is a significant modification or expansion that includes high-impact, high-risk changes and changes that can impact the quality of educational programs and services. The prospectus recommendation, coordination, and approval must be documented.

8.4.2. AU/CAA will schedule the initiative, change or update for review by the Academic Council if required.

8.4.3. Coordination of final package follows:

8.4.3.1. School Level: Faculty, Departmental Chair, Dean and Commander.

8.4.3.2. At the University Staff Level: FM, A6, AU Library, A3O, AU/UR, AU/RF, AU/CG, AU/OAA, 42 ABW, and selected faculty members providing service to the greater AU, as appropriate.

8.4.3.3. At the Executive Level: AU/OAA, A3, and AU/CAO; AU/CV and CC as appropriate.

8.4.4. Once the initiative/change is approved by the AU/CAO, AU/CV and/or AU/CC, the package will be sent to the AU/UR for entry into course database and update of the AU Catalog.

8.4.5. Some course updates/changes may require more or less coordination.

**8.4.6. Guidelines to Update and Publish AU Catalog.**

8.4.6.1. Schools or centers submit catalog changes to AU/UR or OAA, as deemed appropriate.

8.4.6.2. Catalog changes or enhancements must be routed to and approved by OAA.

8.4.6.3. OAA is accountable for the catalog content and AU/UR will publish the document.

**8.5. External Reporting.** Centers/Schools will be responsible for submitting external reports and documents up the chain of command through the AU/OAA for review/coordination. Examples of these reports include, but are not limited to, the following:

8.5.1. JPME-accredited programs reports provided to the Joint Staff J-7 and other external bodies. In addition, copies of correspondence and final reports from the external stakeholders will be provided to AU/OAA.

8.5.2. CCAF and Eaker Center (Civilian Degree Program) of all Associate Degree Program Outcome Achievement Reports annually as an artifact to document program learning outcome achievement.

8.5.3. AFIT provides copies of all reports provided to institutional or specialized accreditation bodies, higher headquarters, DoD, or Congress at the time of submission or release. In addition, copies of correspondence and final accreditation reports from the external stakeholders will also be provided.

8.5.4. Test Pilot School (TPS) provides AU/CAO a copy of all reports related to the academic program sent to higher headquarters, DoD, or Congress at the time of submission or release. In addition, copies of correspondence and final accreditation reports from the external stakeholders will be provided to AU/OAA.

8.5.5. Deans or Program Coordinators provide a copy of all other completed external reviews and reports (e.g., manpower reviews, and other accrediting agencies).

8.5.6. Seek guidance and coordination with AU/OAA and approval from AU/CAO and AU/CC for any significant or substantive changes to the educational program including student

learning outcomes, faculty, curriculum delivery, student support/services, or other program elements affecting resources. AU/OAA will provide guidance to the Centers and Schools regarding any notifications or other documentation required for submission to institutional or specialized accreditation bodies, higher headquarters, the Joint Staff J-7, DoD, or Congress.

8.5.7. AFIT/CL reports for matters affecting institutional and specialized accreditation, higher headquarters, DoD, or Congress.

8.5.8. TPS/CC reports for matters affecting institutional and specialized accreditation that will be submitted to higher headquarters, DoD, or Congress.

**8.6. Non-Instructional Programs.** Non-Instructional Programs (Library, Registrar, Teaching and Learning Center, A6, FM, etc.) assist in the delivery of educational programs and as such contribute to the achievement of program level outcomes.

8.6.1. AU Non-Instructional Program POCs will:

8.6.1.1. Develop program assessment plans and administrative outcomes aligned with AU strategic objectives and mission requirements.

8.6.1.2. Ensure non-instructional programs conduct systematic, explicit, and documented reviews biennially through the Commander's Mission Analysis and Review (CMAR).

8.6.1.3. Provide an institutional analytics POC to AU/OAAI.

8.6.1.4. Provide an institutional quality improvement processes POC to AU/OAAI.

8.6.1.5. Develop forward-oriented analytical plans to align with the Air University Strategic Plan and support directorate functional requirements.

8.6.1.6. Report results of assessment plan implementation annually to AU/OAAI. Assessment plans will focus on supporting the AU educational mission at all levels; aid in institutional planning and resource allocation; and aid in evaluation of the operations of the University.

8.6.2. The 42 ABW will:

8.6.2.1. Develop program assessment plans to support the University's strategic objectives and educational programs.

8.6.2.2. Appoint an institutional effectiveness liaison to provide data, analysis, documentation, and evaluation of the expected performance outcomes for the administrative, fiscal, facilities, community, environmental, recreational, and healthcare support provided to AU.

8.6.2.3. Ensure support programs conduct systematic, explicit, and documented reviews biennially through the IG Commanders Self-Inspection Program.

8.6.2.4. Appoint an institutional analytics liaison to AU/OAA.

8.6.2.5. Develop analytical plans to support the University's strategy and educational programs.

8.6.2.6. Report results of analytical plans annually to AU/OAAI.

8.6.2.7. Use of [Attachment 3](#), [Attachment 4](#), [Attachment 5](#), or [Attachment 6](#), is not mandatory; however, coverage of the substance of each attachment is mandatory regardless of format.

## Chapter 9

### COMMANDER'S MISSION ANALYSIS AND REVIEW (CMAR)

**9.1. Purpose.** Identifies roles and responsibilities and establishes policy to support ongoing, interrelated planning and evaluation processes that incorporate a systematic and documented review of programs and services that (1) facilitates a systematic review of goals and outcomes consistent with the mission, (2) assesses the degree to which program outcomes are met, (3) demonstrates the effectiveness of the institution in accomplishing its mission, (4) uses empirical data to support decision-making, and (5) results in continuous improvement.

#### **9.2. Roles and Responsibilities.**

##### 9.2.1. AU/CC.

9.2.1.1. Is the process owner and responsible to AETC, HAF/A1 and DoD for the performance of the education mission. AU/CC periodically reviews various levels of AU and assigned program data to facilitate strategic level decision-making. The commanders may authorize any other assessment or inspection activity he/she deem necessary.

##### 9.2.2. AU/CAO.

9.2.2.1. Implements the university-wide program review and evaluation components through the Office of Academic Affairs.

9.2.2.2. Establishes and implements institutional effectiveness, assessment, and evaluation processes for AU academic and associated administrative programs.

9.2.2.3. Oversees the coordination between AU Inspector General (IG), the HQ Staff, and Centers/Schools to ensure all higher-level directive requirements are met.

##### 9.2.3. AU Chief of Academic Affairs.

9.2.3.1. Administers, oversees and executes the CMAR process which promotes a cohesive approach to assessment and program review.

9.2.3.2. Executes the institution planning and effectiveness process involving programs, services, and constituencies across the AU enterprise.

9.2.3.3. Monitors compliance of HHQ and other directives through the Commander's Self-Assessment Program (CSAP). Informs IG of checklist additions, deletions, and modifications based on a review of source directives.

9.2.3.4. Conducts special evaluations and/or staff assistance visits (SAV) as directed by the AU/CC and AU/CAO and/or as requested by Center/School Commanders to assess the quality and effectiveness and continuous improvement of educational, training, research, and support services.

9.2.3.5. Guiding Principles. Collects and evaluates documentation from educational programs, administrative support services, research programs, and non-instructional programs (i.e., Library, Registrar, Facilities) that generate useful information for improvement. This information is used to determine the degree to which program-level outcomes, goals, and continuous process improvement are met across the university in



accordance with joint, institutional, and/or specialized accreditation standards across AU enterprise.

9.2.3.6. Implementation. In collaboration with the IG, ensure that the self-assessment and inspection program assesses each Center/School's contribution to institutional and instructional effectiveness by focusing on compliance and non-compliance with applicable governing directives and unit effectiveness in the Major Graded Areas (MGA). The execution of the CMAR is a coherent tracking process involving practical steps and creating a systematic approach to generate compliance data.

9.2.4. AU/IG. The IG has regulatory authority from AU/CC to carry out unrestricted responsibilities to conduct inspections which must guarantee independence, instill confidence in the system, and be free of any appearance of undue influence.

9.2.4.1. IAW AFI 90-201 MGA represents key processes, procedures, and requirements based on public law, executive orders, directives, and instructions.

9.2.4.2. CSAP manages, assesses, and improves education mission-essential tasks to measure and validate mission readiness and compliance.

9.2.4.3. CSAP inspects HQ AU and subordinate unit effectiveness. The program intends to inspect each subordinate unit within 24 months and biennially thereafter. Virtual inspections may be executed in place of onsite inspections.

9.2.4.4. Ensure appropriate internal mechanisms exist to track requirement/resource mismatches, assess resultant mission risk, and track disconnect to closure.

9.2.4.5. Responsible for training personnel on how to inspect. The training is an 8-hour block of instruction with one over-the-shoulder observation of an official inspection.

9.2.4.6. Normalize education mission compliance activities into the CSAP, following the AF Inspection System models. In order to promote a culture of continual evaluation, the existing AU Self-Assessment Program (SAP) would be modified to bring education mission compliance requirements (accreditation, etc.) under the SAP umbrella to improve accountability, increase sampling, reduce duplication of assessment efforts, and institutionalize enterprise academic standards.

9.2.4.7. Independent IG academic inspections may further validate HQ and unit-level education self-assessment efforts, reported, and tracked in the Inspector General Evaluation Management System database.

9.2.5. AU Centers/Schools.

9.2.5.1. Undertakes periodic self-inspections and joint, specialized, and institutional accreditation inspections, which are valuable sources of information on how well the unit accomplishes its mission. Will assess mission essential tasks related to the academic programs assigned as determined by the schedule via the CSAP to ensure compliance.

9.2.5.2. Centers/Schools deans, program coordinators/managers, and CSAP POCs will ensure academic programs comply with current guidance to the maximum extent practical. School deans and institutional effectiveness personnel will conduct periodic supplemental inspections to ensure compliance with standards.

9.2.5.3. Ensure that every program will have a sustainable and sustained process for conducting assessments, sharing findings, using results to improve learning and teaching, and reassessing to check that intended improvements have occurred. This is an ongoing cycle.

9.2.5.4. Develop program assessment plans and organizational outcomes aligned with University Strategic priorities/objectives.

9.2.5.5. Report results of assessment plan annually to OAA using meaningful, evidence-based data to inform decisions. Assessment plans will support the educational mission at all levels; aid in institutional planning, resource allocation, and evaluation of the University's mission and its programs.

#### 9.2.6. AU Inspection and IG Teams.

9.2.6.1. The teams will assess the overall health and viability of a school/center's programs and support services. This cyclical evaluation examines gaps between the actual key performance indicators, develops a plan to address program shortfalls, and evaluates the strengths and weaknesses, and determines future priorities.

##### 9.2.6.2. The Inspection Team will:

9.2.6.2.1. Engage in a systematic approach to assess instructional and non-instructional programs to ensure AU mission outcomes are met across the board. Each statutory team will have a designated team lead who will coordinate onsite events with the appropriate personnel.

9.2.6.2.2. Have unrestricted access to and (when required) records, reports, documents, papers, recommendations, or other material to the extent authorized by AU/CC and AU IG.

##### 9.2.6.3. The IG Team shall:

9.2.6.3.1. Devote the necessary time, energy, preparation, and forethought to the evaluation.

9.2.6.3.2. Commit to conducting a constructive review that will lead to the unit's improvement.

9.2.6.3.3. To the greatest extent possible, examine data as the basis for identifying the specified areas.

9.2.6.3.4. Report trends, if any, to AU/CC and AU/CAO.

### 9.3. Inspection Team Composition and Qualifications.

9.3.1. The composition of the Inspection Team consists of active duty and civilian faculty and staff. Each school and center will be responsible for identifying someone to serve on the Inspection Team and the AU/CAO and AU/CAA will identify someone from his/her staff and/or amongst HQ staff and/or Centers/Schools to serve on the inspection team to further ensure (1) a review focused on empiricism and (2) adherence to the spirit of the inspection. AU/CC establishes the inspection team qualification requirements and the makeup of the inspection team will be approved by the AU/CAO and AU/CAA. The recommendation is to have SMEs as inspector augmentees.

9.3.2. The inspection team composition and qualification will be determined by the IG in collaboration with AU/OAA.

#### **9.4. CMAR Process.**

9.4.1. The program review and evaluation process ensures institutional effectiveness, while engendering useful information for University-wide improvement. The essential elements of the program review and evaluation model include:

9.4.1.1. Evaluating the quality, practicability, and productivity of each educational program in keeping with a set of criteria.

9.4.1.2. Assessing data to support empirically derived programmatic strengths and weakness.

9.4.1.3. Evaluating each program's linkage to AU's mission.

9.4.1.4. Identifying priorities for the educational program improvement.

9.4.2. The process supports a collaborative relationship between the IG inspections (internal program reviews), program review profiles, and DoD and J7 level guidance and reporting requirements to continuously measure and improve the quality of educational programs and services offered across the AU enterprise.

9.4.3. This approach addresses numerous directives, instructions, guidance, and policies published by HHQ that affect the AU enterprise and supports all process requirements. This effort complements and is aligned with the J7 and DoD requirements.

9.4.4. The process creates a comprehensive approach linking strategy, planning, and programming to both internal and external stakeholders in accordance with the NDS.

9.4.5. Consists of two parts: (1) self-assessment conducted via MICT, and (2) vertical/horizontal inspection centered on four MGAs: Strategic Planning and Governance; Organizational Management; Process Operations; and Resource Management, which focuses on executing the academic mission, continual internal evaluations, and improving the unit/program.

9.4.5.1. IAW AFI 90-201 and as depicted in **Figure 9.1** shows the Commander's Inspection Program (CCIP) required for MGAs. MGAs represent key processes, procedures and requirements based on either public law, executive orders, directives, or instructions. The CCIP will assess the four MGAs. The inspection process must ensure representative data is collected for all MGAs.

**Figure 9.1. CSAP MGAs.**

9.4.5.2. Consult the Program Review and Assessment Handbook for supplemental instructions.

#### 9.4.6. External Program Review and Evaluation.

9.4.6.1. Several AU programs undergo reviews and evaluations from external stakeholders. The external reviewers are typically composed of subject matter experts, senior decision-makers and leadership, faculty, and peers. This review involves the Joint Staff, HHQ, the Services, PME institutions, and other affected agencies. This review ensures that AU programs continue to meet the needs of the organizations that employ AU graduates.

### 9.5. Inspection Schedule.

9.5.1. AU/CC must approve the inspection schedule. The inspection schedule will include a horizontal and vertical inspection. Horizontal inspections consist of AU/CC owned non-instructional programs and support services. Vertical inspection is a unit inspection similar to a joint, specialized and institutional accreditation. The vertical inspection will validate and verify school/center compliance with the four MGAs. Every school at a minimum must be inspected horizontally and vertically every 24 months.

9.5.2. Inspection areas consist of both instruction and the non-instructional areas. The focus of the inspection will include, but not limited, to (1) Program Execution, (2) Faculty, (3) Academic Services, and (4) Student Achievement.

### 9.6. Inspection Reporting Requirements.

9.6.1. In-brief and out-brief shall be conducted with School/Center's Commandant.

9.6.2. All finalized deficiencies will be in the Inspector General Evaluation Management System (IGEMS).

9.6.3. Hot wash with IG team and SMEs will be conducted prior to finalizing inspection report.

9.6.4. Centers/Schools SMEs shall provide an inspection summary of their findings and inspected the program's disposition.

9.6.5. Inspection report shall be completed within 30 days of out-brief.

## Chapter 10

### OFFICE OF ACADEMIC AFFAIRS

**10.1. Purpose.** Defines the functions, roles, and responsibilities for the Office of Academic Affairs (AU/OAA) as it relates to governance and administration.

**10.2. Roles and Responsibilities.**

10.2.1. Chief of Academic Affairs (AU/OAA). Oversees all instructional programs, curriculum integration, teaching, faculty, research, scholarship, institutional effectiveness, and analytics through the Institutional Policy, Institutional and Program Review and Evaluation, Process, and Institutional Assessment and Planning Process.

10.2.2. Serves as the primary advisor to AU/CC and AU/CAO for academic functions, educational program execution, faculty, university-wide educational program quality and joint, institutional, and specialized accreditation related matters.

10.2.3. Establishes University level policy, procedures, and standards to ensure quality, rigor and effectiveness for:

10.2.3.1. Educational program planning, execution, and assessment.

10.2.3.2. Faculty management and relations.

10.2.3.3. Legal and policy mandates governing research.

10.2.3.4. Registrar, enrollment policy, and course database updates.

10.2.3.5. Institutional Effectiveness.

10.2.3.6. Institutional Research/Analytics.

10.2.3.7. Academic Planning and Innovation.

10.2.4. Serves as the SACSCOC and United States Department of Education (DoED) liaison on institutional and specialized accreditation compliance and reporting matters. The sole authority authorized to speak on behalf of the AU/CC to SACSCOC and DoED on accreditation and program compliance.

10.2.4.1. Ensures compliance with SACSCOC accreditation requirements and the planning and evaluation process of the institution. Coordinates the preparation of the annual profiles and any other reports requested by internal and external stakeholders and develops institutional academic policy, processes, and procedures at the direction of the AU/CAO.

10.2.5. Serves as the Designated Federal Authority for the Federal Advisory Committee Act.

10.2.6. Serves as the Authorized Institutional Officer (AIO) Human Subjects Research Protection Program (HRPP) ensuring human subject protection measures are integrated into all University-level research, with the exception of AFIT research.

10.2.7. Oversees AU Survey Control Administration, with the exception of AFIT surveys.

10.2.8. Oversees Institutional Research and Data Mining in response to internal and external taskings.

- 10.2.9. Tasks Centers and Schools as appropriate to meet mission requirements.
- 10.2.10. Serves as the primary administrator for the Commanders Self-Inspection program.
- 10.2.11. Provides Commanders, Deans and Directors guidance and subject matter expertise on education program management, execution, faculty, assessment, future initiatives, and accreditation.
- 10.2.12. Serves as the project officer for all emerging or new courses or programs.
- 10.2.13. Delegates day-to-day program management responsibilities to:
  - 10.2.13.1. Chief, Advisory Boards and Strategic Operations (AU/OAAB):
    - 10.2.13.1.1. Serves as the key staff officer for AU governance and advisory board activities to include the BoV and all approved subcommittees and working groups.
- 10.2.14. Chief, Institutional Effectiveness (AU/OAAE):
  - 10.2.14.1. Operates the HRPP in compliance with 32 CFR 219, *Protection of Human Subjects*, DoDI 3216.02, *Protection of Human Subjects and Adherence to Ethical Standards in DoD-Conducted and Supported Research*, and DoDI 3216.02\_AFI40-402, *Protection of Human Subjects and Adherence to Ethical Standards in Air Force Supported Research*.
  - 10.2.14.2. Manages the AU Survey Control Program IAW AFMAN 36-2664, *Personnel Assessment Program*, DoDI 1100.13, *Surveys of Department of Defense Personnel*, and DoDI 8910.01, *Information Collection and Reporting*. Assigns AU survey control numbers, provides guidance on survey design, deployment, and interpretation.
- 10.2.15. Chief, Faculty Relations (AU/OAAF):
  - 10.2.15.1. Provides execution, coordination, and support on faculty related matters across the AU enterprise such as new faculty development processes, onboarding, training, orientation, and mentoring through peer and academic support programs. Additionally, serve as the primary advisor on faculty initiatives, policies, processes, and relations.
- 10.2.16. Chief, Graduate Professional Education and Programs Enhancement (AU/OAAG):
  - 10.2.16.1. Ensures AU curricula remains current, updated, and aligned with AU priorities; collects data and conducts research analysis for institutional continuous process improvements; and maintains, builds, and monitors the execution of the program review progress across AU's enterprise.
- 10.2.17. Chief, Institutional Analysis (AU/OAAI):
  - 10.2.17.1. Serves the University with information and special studies; conducts research and analyses on the characteristics of educational processes, student body, faculty and staff; assists with accreditation efforts; including the planning and evaluation process for all units; develops and maintains AU's strategic plan and strategy management processes; and prepares reports for the campus, the Board, and other outside agencies by developing and managing data to facilitate AU efforts in institutional effectiveness.
  - 10.2.17.2. Oversees AU's institutional quality improvement and processes (e.g., QEP and QIP) for identifying key issues emerging from institutional assessments, developing plans

to enhance student learning outcomes and/or the environment supporting student learning, and accomplishing the mission of the institution

10.2.17.3. Ensures validity and reliability of data to the requesting agency, including US Congress, DoD, SAF, AF, AETC, Joint Staff JS/J7, SACSCOC, HLC, and ABET. Ensures AU leaders are informed of requests and responses regarding such information.

10.2.18. AU Fellows Program Manager (AU/OAAM):

10.2.18.1. Provides administrative management of the AU Fellows Program. Ensures AU Fellows are successfully onboarded into the Fellowship and find ways of progress the Fellows experience while continuously thinking about how to make the process more efficient.

10.2.19. Chief, Planning and Innovation (AU/OAAP):

10.2.19.1. Oversees the development of strategic approaches that operationalize the integration of innovation and technology into the educational environments to meet AU's needs; supports the identification, evaluation, adoption, and integration of practical innovative changes into Centers/Schools.

10.2.20. Chief, Undergraduate Education Programs (AU/OAAU):

10.2.20.1. Oversees the activities of AU's undergraduate and professional continuing education programs. Ensures curricula remain current, updated, and aligned with AU priorities; collects data and conducts research analysis for institutional continuous process improvements; and maintains, builds, and monitors the execution of the program review process.



## CHAPTER 11

### ACADEMIC SERVICES

**11.1. Purpose.** Defines the functions, roles, and responsibilities for Academic Support Services including Teaching and Learning Center, Registrar Office, Sponsored Program Office, AU Press, and AU Library. AFIT processes for delivering academic services, including support from and coordination with offices on the Maxwell-Gunter campus, will be described in the AFIT Supplement to this instruction.

#### **11.2. Roles and Responsibilities .**

11.2.1. Director, Academic Services, as delegated by A3.

11.2.1.1. In coordination with the AU/CAO, AU/CAA, Center Commanders and School Commandants, establishes policies and procedures designed to promote effective teaching and learning for all educational programs.

11.2.1.2. Programs for adequate resources and facilities to sustain the AU Library and the Teaching and Learning Center (TLC).

11.2.1.3. Leads integration of the AU/UR with organizations throughout AU to ensure accountability of registration, scheduling, production, lodging utilization, transcripts, and graduation.

11.2.1.4. Provides scholarship and research coordination across the AU to enhance research effectiveness and publishes research materials relevant to AU programs through AU Press.

11.2.1.5. Oversees Academic Services Assessments plans, surveys, and practices. **Attachment 5**, *AU Program Learning Outcome and Student Services Crosswalk*, is provided as an example.

11.2.1.6. Develops reports to document the degree to which each program assigned meets established outcomes and identifies data-based improvements actions.

11.2.2. The TLC:

11.2.2.1. Supports faculty, staff, and students through instruction, tutoring, mentoring, and training on instructional strategies and educational technology tools, resources, programs, and devices.

11.2.2.2. Collaborates with faculty and staff across AU schools and programs in outreach and engagement activities. This includes facilitating meetings, developing newsletters, and creating other products.

11.2.2.3. Supports faculty and student communication skills development through instruction, tutoring, lessons, and guidance on academic writing via a Writing Lab.

11.2.2.4. Manages and maintains adequate physical resources to support TLC activities including classrooms, auditoriums, a technology training and research lab, Writing Lab, and a collaboration and creativity room.

11.2.2.5. Develops assessment plans to measure the effectiveness and relevance of TLC programs with respect to improving teaching among faculty and learning outcomes among students.

11.2.2.6. Conducts research in coordination with AU/A6 on educational technology programs and devices to identify and promote technology products beneficial and appropriate to AU schools and programs.

11.2.2.7. Facilitates regular presentations, workshops, forums, and events designed to promote faculty development, student learning and academic collaboration.

### 11.2.3. AU Library:

11.2.3.1. Manages AU's library resources through the Collection Development Policy (AUL OI 34-0) for print and electronic collections that are relevant to the educational and training programs of the University.

11.2.3.2. Identifies, develops, and provides resources such as online products, commercial electronic databases, books, interlibrary loan, and tools utilizing formal licensing agreements and/or contracts when appropriate.

11.2.3.3. Develops subject and resource guides focusing on Air Force and Air University research topics working with faculty, staff, and students.

11.2.3.4. Produces the AU Library Index to Military Periodicals (AULIMP), which is a subject index to significant articles, news items, book reviews, and editorials not indexed elsewhere. AULIMP is available online for all to access for research.

11.2.3.5. Receives copies of all publications produced by AU units. Examples include research papers, accreditation self-studies, annual histories, etc. Provides online access to all Distribution A materials approved by Public Affairs for release.

11.2.3.6. Maintains storage capability for documents and publications up to and including SECRET classification level. Provides access to documents and workspace for faculty and students to support classified research up to SECRET classification level.

11.2.3.7. Receives donations of books and educational materials to support the AU Library collection and programs.

11.2.3.8. Maintains and schedules collaborative learning environments and resources for faculty, students, and staff such as meeting rooms, auditorium space, computers, virtual reality equipment, 3D printer, Innovation Lab, and collaborative meeting spaces.

11.2.3.9. Supports teaching, scholarship, and service activities of students, faculty, and staff. Provides timely instruction on using library and information resources appropriate to the structure and learning outcomes of AU educational programs.

11.2.3.10. Assures information resources and facilities comply with established Joint, specialized, and institutional accreditation standards. Information resources are of a sufficient quality and quantity to support the educational programs of the University.

11.2.3.11. Serves as a committee member and advisor for institutional and joint accreditation processes.

11.2.3.12. Library Directors at the AU Library Maxwell-Gunter campus and AFIT will catalog copies of research products in their respective databases and/or catalogs. Cataloging copies includes making the research perpetually discoverable for patrons by adding relative metadata.

#### 11.2.4. AU/UR:

11.2.4.1. Coordinates across all AU programs on all enrollment management issues, including admissions, registration, scheduling, course and program completion, transcripts, and graduation.

11.2.4.2. Manages and publishes the AU Catalog in coordination with academic program coordinators and the AU/OAA staff. Ensures the catalog is publicly available.

11.2.4.3. Assures the accuracy, consistency, and currency of student information in the AU Registrar System of Record in accordance with established standards and practices in higher education.

11.2.4.4. Ensures the proper documentation of student records within the appropriate personnel system and tracks resident and nonresident educational program completion.

11.2.4.5. Reviews and coordinates requests for approval of all new educational programs through HQ AU, Air Staff Career Field Manager, and Air Force Education and Training Office.

11.2.4.6. Manages processes for incorporating approved educational programs, deletions, and changes to existing educational programs in University data systems.

11.2.4.7. Registrar Office serves as a committee member and advisor for accreditation process.

#### 11.2.5. AU Press:

11.2.5.1. Publishes significant contributions of research and scholarship to enhance the academic prestige of the university and to support accreditation.

11.2.5.2. Publishes faculty and student research, academic journals, other materials relevant to the Air University program, and other administrative documents that directly support AU's programs. Examples include school-selected student papers, faculty research efforts, and curriculum-related materials. Identifies, edits, and publishes paper series such as the AWC's Maxwell papers, ACSC's Wright Flyers, and the Fairchild Papers, which are selected essays having research value to the Air Force.

#### 11.2.6. Sponsored Program Office:

11.2.6.1. Connects researchers to people and funds, manages designated AU research funds, and works to coordinate the research process to enhance the strategic value and effectiveness of final research products at Air University.

11.2.6.2. Oversees the University's Research Task Forces (RTF).

#### 11.2.7. AU Centers and Schools:

11.2.7.1. Appoint a faculty or staff member to communicate program requirements for information and publication resources to AU Library.

11.2.7.2. Communicate Center and School learning support and research information requirements to AU Library and AU TLC personnel.

11.2.7.3. Coordinate information resource selection with AU Library to ensure availability in AU Library collection.

11.2.7.4. Include AU Library on distribution lists for:

11.2.7.4.1. Student papers that meet school publication standards.

11.2.7.4.2. Research reports and Business Case Analyses.

11.2.7.5. Coordinate course information to AU/UR.

## Chapter 12

### SCHOLARSHIP AND RESEARCH

#### 12.1. Purpose.

12.1.1. To identify roles and responsibilities, policy, and processes which guide the execution of all scholarship and research occurring within Air University (AU).

12.1.2. To ensure AU remains in compliance with all relevant policies, regulations, and laws that govern scholarship and research.

#### 12.2. Roles and Responsibilities.

##### 12.2.1. AU/CC.

12.2.1.1. Serves as the AU/ HRPP Institutional Officer (IO), responsible for:

12.2.1.1.1. Designating one or more Institutional Review Board (IRB) Members, as appropriate, to review for compliance, before initiation, the institution's activities that are, or maybe, research involving human subjects.

12.2.1.1.2. Delegating to the AIO the authority to oversee and manage all research processes to ensure any individual designated authority to determine research or exempt status does so in accordance with procedures documented in the HRPP Plan, which is located on the HRPP SharePoint site. All of the IO duties and responsibilities are delegated to the AIO, except the following:

12.2.1.1.2.1. Signatory authority for the Assurance.

12.2.1.1.2.2. Completing annual Human Research Protections training for the IO.

12.2.1.1.2.3. Ensuring that the IRB functions independently and researchers have direct access to the IO for an appeal if they experience undue influence or if they have concerns about the function of the IRB.

12.2.1.1.2.4. Ensuring adequate resources (i.e., funds, space, personnel) are provided to support the operation of the HRPP.

12.2.1.1.3. Establishing a policy for designating human protection personnel, human research protection official(s) (HRPO) and exemption determination officials (EDO) to include specifying qualifications, training, and responsibilities. Only the designated federal DoD HRPP personnel are authorized to make determinations regarding whether or not an activity is HSR or is exempt HSR. (DoDI 3216.02, DoDI 3216.02\_AFI 40-402, and AU's HRPP Plan.)

12.2.1.1.4. AU/CC empowers the AU/CAO to oversee university research and scholarship administration (not the AIO responsibilities) across the AU enterprise. AU/CC delegates oversight of AFIT research and scholarship, including Institutional Officer responsibilities for AFIT's Human Research Protection Program (HRPP), to the AFIT Director (AFIT/CL.) AFIT scholarship and research processes, including coordination with appropriate offices at the Maxwell-Gunter campus, will be described in the AFIT Supplement to this instruction.

### 12.2.2. AU/CAO.

12.2.2.1. Maintains oversight of the research and scholarly activities and all its component entities.

12.2.2.2. Responsible for providing operational direction for all research activities pertaining to a research development, delivery, management, and execution.

### 12.2.3. AU/CAA.

12.2.3.1. As delegated by the CAO, oversee all research operations to include those functions within the Office of Academic Affairs.

12.2.3.2. Serves as the AIO and is appointed by the IO and is delegated the authority to exercise responsibilities of the IO with regard to the Institution's HRPP Plan with the exceptions outlined in [12.2.1.1.2.1](#) through [12.2.1.1.2.4](#).

### 12.2.4. AU/OAAE.

12.2.4.1. Serves as the Human Research Protection Program point of contact as outlined in the HRPP plan. Coordinates institution's system of interdependent elements that implement policies and practices to protect human subjects involved in research. Appointed by the Air Force Medical Readiness Agency/Surgeon General Research Oversight and Compliance Division (AFMRA/SGE-C) as a Human Rights Protection Official (HRPO), DoD designated official to conduct an administrative review of DoD-supported research in accordance with the requirements of the DFARS, or comparable requirement, and whose review of DoD-supported research is intended to ensure compliance with DoD HSR requirements, and as a member on the Air Force Research Laboratory (AFRL) IRB, the University's IRB of record.

12.2.4.2. Serves as the only designated federal DoD HRPP personnel authorized to make determinations regarding whether or not an activity is HSR or is exempt HSR.

12.2.4.3. Oversees the day-to-day administration of AU's HRPP Plan, to include oversight of HSR training and reporting responsibilities.

### 12.2.5. Sponsored Program Office.

12.2.5.1. Facilitates matching AU resources and products to external requests and integrating ideas, groups, and tools to support the scholarship of students and faculty.

12.2.5.2. Periodically brief AU senior leaders on AU's topics agenda, on-going research efforts, issues, and accomplishments connected to external request and sponsored programs.

12.2.5.3. Manages a series of institutional processes to promote AU scholarship and outreach efforts (see section [11.2.6](#) for a description of these processes).

12.2.5.4. Champions academic capabilities to other organizations within the Department of the Air Force and Department of Defense and solicits faculty and staff participation.

12.2.5.5. Serves as the contact point for outside sponsors proposing AU topics.

12.2.5.6. Coordinates and assists AU schools with sponsorship and funding of their faculty and student's scholarship.

12.2.5.7. Coordinates support for AU RTF and Communities of Interest (CoI).

12.2.5.8. Manages the AU Research Topics List (RTL).

12.2.5.9. Coordinates all research (as defined within HRPP protocols) through the HRPP Personnel to ensure compliance with DoDI 3216.02\_AFI 40-402 (or DoDI 3216.02 and DoDI3216.02\_AFI40-402).

12.2.6. Library Directors.

12.2.6.1. Maintain copies of AU scholarship in their respective databases and/or catalogs.

12.2.7. AU/PA.

12.2.7.1. Manages the security and policy review (SPR) of all AU research products, with the exception of AFIT products that are reviewed by 88 ABW/PA.

12.2.7.1.1. Provides annual SPR training for faculty and staff members of AU schools and colleges.

12.2.8. Commanders and Commandants.

12.2.8.1. Ensure that faculty, staff, and students have adequate time and resources to undertake scholarship on topics of importance to national defense and security.

12.2.8.2. When tasked through the command chain, provide AU with SMEs for research projects, to include involvement with the RTFs.

12.2.8.3. Establish a process to ensure that research topics developed external to the AU RTL are reported to the Sponsored Program Office as work commences to enable oversight and compliance with internal procedures.

12.2.8.4. Designate a chief of research and publication to serve as their schools' primary faculty advisor on all matters related to scholarship and publication.

12.2.8.5. Periodically brief the scholarship done at their schools/colleges for which they have the authority, accountability, and responsibility.

12.2.8.6. Coordinate all research (as defined within HRPP protocols) through the HRPP Personnel to ensure compliance with DoDI 3216.02\_AFI 40-402 (or DoDI 3216.02 and DoD I3216.02\_AFI40-402).

12.2.9. Program Coordinators.

12.2.9.1. Manage those scholarship processes and responsibilities as delegated by their commander or commandant.

12.2.10. Chiefs of Research or Publication.

12.2.10.1. Serve as their school/ center's focal point for scholarship by its faculty and students.

12.2.10.2. Maintain timely and accessible records of current scholarship being undertaken and completed by students and faculty at their respective school or center.

12.2.10.3. Serve as primary contacts for the AU Sponsored Program Office for AU student and faculty scholarship.

12.2.10.4. Appointed by the Commander to serve as the primary research contacts or HRPP POCs for the HRPP Personnel. Must complete annual HRPP training.

12.2.10.5. Coordinate all research (as defined within HRPP protocols) through the HRPP Personnel to ensure compliance with DoDI 3216.02\_AFI 40-402 (or DoDI 3216.02 and DoDI3216.02\_AFI40-402).

12.2.11. Faculty.

12.2.11.1. Conduct scholarship, to include the scholarship of discovery (creating knowledge), the scholarship of integration (connecting knowledge), and/or the scholarship of application (using knowledge).

12.2.11.2. Advise students as they conduct their scholarship and perform initial Security and Policy Review assessments of the student scholarship they are supervising.

12.2.11.3. Provide current information regarding faculty expertise to those in charge of maintaining AU's public profile.

12.2.11.4. Serve as a subject matter expert for DAF and DOD entities as appropriate and when available.

12.2.11.5. Coordinates all research (as defined within HRPP protocols) through the HRPP Personnel to ensure compliance with DoDI 3216.02\_AFI 40-402 (or DoDI 3216.02 and DoDI3216.02\_AFI40-402).

12.2.12. AU Chairs.

12.2.12.1. Coordinate collaborative efforts between AU scholarship and their sponsoring organizations.

12.2.12.2. Review topics and questions submitted by sponsoring command and provide input to the AU Sponsored Program Office.

12.2.12.3. Support the sharing of germane scholarship done by AU personnel with sponsoring command.

12.2.12.4. Serve as SMEs and identify SMEs from their command to support AU scholarship.

12.2.12.5. Coordinates all research (as defined within HRPP protocols) through the HRPP Personnel to ensure compliance with DoDI 3216.02\_AFI 40-402 (or DoDI 3216.02 and DoDI3216.02\_AFI40-402).

### **12.3. Definitions and Types of Scholarship and Research.**

12.3.1. Scholarship. An approach proposed by Dr. Ernest L. Boyer of The Carnegie Foundation for the Advancement of Teaching in 1990 to broaden the discussion of faculty members' intellectual endeavors. Three forms of scholarship are particularly relevant to Air University faculty members: Scholarship of Discovery, Scholarship of Integration, and Scholarship of Application.

12.3.1.1. Scholarship of Discovery—Creating Knowledge. Aligns closely with traditional notions of academic research, which values in-depth, peer-reviewed publications as evidence. Examples could include books, chapters, articles, and conference papers.



12.3.1.2. Scholarship of Integration—Connecting Knowledge. Makes connections across disciplines, places specializations in perspective, synthesizes and interprets knowledge to produce new insights. Examples include focused studies, white papers, textbooks, and works that link knowledge to DoD priorities.

12.3.1.3. Scholarship of Application—Using Knowledge. Applies knowledge to address immediate or persistent problems and issues in the profession. Examples could include serving as a member of a Commander-Directed Investigation team, serving as a member of a staff assistance or IG team, consultation with operational units or staff organizations, and serving on boards and councils that govern or inform professional development processes and programs.

### 12.3.2. Research.

12.3.2.1. For the Protection of Human Subjects, research is defined as “a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge.” (32 CFR § 219.102)

12.3.2.2. Per 32 CFR§ 219.102, the following activities are deemed NOT to be research:

12.3.2.2.1. Scholarly and journalistic activities, including the collection and use of information, that focus directly on the specific individuals about whom the information is collected. Examples include oral history, journalism, biography, literary criticism, legal research, and historical scholarship. (32 CFR § 219.102) The final rule explicitly cites those fields and traditions as examples, in order to clarify that the focus is on the specific activities that collect and use information about specific individuals themselves, and not generalizing to other individuals. (82 FR 7149)

12.3.2.2.2. Public health surveillance activities, including the collection and testing of information or biospecimens, conducted, supported, requested, ordered, required, or authorized by a public health authority. Such activities are limited to those necessary to allow a public health authority to identify, monitor, assess, or investigate potential public health signals, onsets of disease outbreaks, or conditions of public health importance (including trends, signals, risk factors, patterns in diseases, or increases in injuries from using consumer products). Such activities include those associated with providing timely situational awareness and priority setting during the course of an event or crisis that threatens public health (including natural or man-made disasters).

12.3.2.2.3. Collection and analysis of information, biospecimens, or records by or for a criminal justice agency for activities authorized by law or court order solely for criminal justice or criminal investigative purposes.

12.3.2.2.4. Authorized operational activities (as determined by each agency) in support of intelligence, homeland security, defense, or other national security missions.

12.3.2.3. Human Subjects Research (HSR). HSR is a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge that involves a living individual whom an investigator (whether professional or student) either obtains information or biospecimens through intervention or interaction with the individual, and uses, studies, or analyzes the information or

biospecimens; or obtains, uses, studies, analyzes, or generates identifiable private information or identifiable biospecimens. (32 CFR § 219.102)

12.3.2.3.1. All human research at AU shall be conducted ethically and in accordance with all applicable federal, DoD, and Air Force (AF) HRPP requirements.

12.3.2.3.2. All human research supported and/or conducted at AU shall comply with any other applicable federal, state, and local laws, and Institutional policies and processes applicable to human research.

12.3.2.3.3. Prior to start of an activity that is or may be research involving human subjects, the principal investigator must obtain written determination from an appropriate EDO or an IRB. (DoDI 3216.02 Section 11.c)

12.3.2.3.4. Activities listed in sections [12.3.2.2.1](#) through [12.3.2.2.4](#) are deemed not to be research by 32 CFR § 219.102.

12.3.2.3.5. Only designated federal DoD HRPP personnel are authorized to make official determinations regarding whether activities are not research involving human subjects, exempt research involving human subjects per section or research involving human subjects that requires IRB approval prior to initiation (DoDI 3216.02 and DoDI3216.02\_AFI40-402). Per DoDI 3216.02, the following activities conducted or supported by the DoD are not considered HSR:

12.3.2.3.5.1. Activities carried out solely for purposes of diagnosis, treatment, or prevention of injury and disease under force health protection programs of DoD, including health surveillance pursuant to Section 1074f of Title 10, U.S.C., and the use of medical products consistent with DoDI 6200.02.

12.3.2.3.5.2. Health and medical activities as part of the reasonable practice of medicine or other health professions undertaken for the sole purpose of diagnosis, cure, mitigation, treatment, or prevention of disease in a patient.

12.3.2.3.5.3. Activities performed for the sole purpose of medical quality assurance (see Section 1102 of Title 10, U.S.C., and DoDI 6025.13).

12.3.2.3.5.4. Activities that meet the definition of operational test and evaluation as defined in Section 139(a)(2)(A) of Title 10, U.S.C.

12.3.2.3.5.5. Activities performed solely for assessing compliance, including occupational drug testing, occupational health and safety reviews, network monitoring, and monitoring for compliance with requirements for protection of classified information.

12.3.2.3.5.6. Activities, including program evaluation and surveys, user surveys, outcome reviews, and other methods, designed solely to assess the performance of DoD programs where the results are only for the use of government officials responsible for the operation or oversight of the program being evaluated.

**12.4. Proprietorship.** The type of scholarship or research activity will affect the copyright status of any publications and academic freedom the investigators will benefit from.

12.4.1. Faculty Scholarship or Research. Scholarship or research initiated by an AU faculty member on a topic of his or her choosing as an official duty in accordance with [paragraph 5.5.1.3](#).

12.4.2. Student Scholarship or Research. Scholarship or research initiated by an AU student as part of an educational program.

12.4.3. Institutional Scholarship or Research. Scholarship or research initiated by an AU member about institutional issues to inform decision making, planning, and/or continuous improvement.

12.4.4. Directed Scholarship or Research. Scholarship or research conducted by AU faculty and/or students in response to a request by an external Air Force, Space Force, or Department of Defense entity.

## 12.5. Approval Processes.

### 12.5.1. Research Determinations.

12.5.1.1. Prior to start of an activity that is or may be research involving human subjects, the principal investigator must obtain written determination from an appropriate EDO or an IRB. (DoDI 3216.02 Section 11.c.)

12.5.1.1.1. Activities listed in sections [12.3.2.2.1](#) through [12.3.2.2.4](#) are deemed not to be research by 32 CFR § 219.102.

12.5.1.2. Only designated federal DoD HRPP personnel are authorized to make official determinations regarding whether activities are not research involving human subjects, exempt research involving human subjects per section or research involving human subjects that requires IRB approval prior to initiation (DoDI 3216.02 and DoDI3216.02\_AFI40-402).

12.5.2. Survey Control Numbers. A survey (e.g., questionnaires, focus groups, polls, interviews, etc.) is an investigation of a given population by means of collecting data from a sample or census to estimate characteristics of the population through the systematic use of the statistical methodology. Follow the guidelines below when developing a survey project (AFMAN 36-2664).

12.5.2.1. Depending on the questions, an AF IRB may be required; AU has an AFRL IRB Team Member who will determine if the survey should be sent for a Human Research Protection Office (HRPO)/IRB review/approval. AFMAN 36-2664)

12.5.2.2. Installation and Center and School Commanders will ensure individuals under their functional authority submit all requests to conduct attitude and opinion surveys for review and determination of approval IAW AFMAN 36-2664, Chapter 5.

12.5.2.2.1. A survey conducted by AU personnel and administered to its faculty, staff, and students for AU's Program Effectiveness will be reviewed by AU's Survey Office IAW AFMAN 36-2664, Chapter 7.

12.5.2.2.2. A request to survey/research AU's population by an entity outside of AU (Air Force, civilian higher education, or private) must have a survey approval number and when appropriate an IRB approval. Refer inquiries to AU HRPP POC.

12.5.2.2.3. A survey conducted by AU personnel and administered to its faculty, staff, and students that is not related to programmatic effectiveness and extends to Air Force Personnel beyond AU or surveys that are broader Air Force topics as Diversity and Inclusion, Sexual Assault, etc., must seek approval through the Air Force Survey Control Office (AFSO) IAW AFMAN 36-2664, Chapter 5.

12.5.2.2.4. A survey conducted by AU personnel and designed to cross branches of service, to include more than one government agency, or members of the public must seek approval through the Washington Headquarters Service (WHS) IAW DoDI 1100.13.

12.5.2.3. Surveys approved to be conducted by AU personnel must administer the surveys using the approved AU-Enterprise Survey tool.

### 12.5.3. Security and Policy Review.

12.5.3.1. Center Commanders and School Commandants shall provide an appropriate mechanism through which a proper security review may be conducted. If there is any question on the potential security impact of materials being considered for release, the materials shall be submitted for security review IAW DoDI 5230.09.

12.5.3.2. Authors and researchers and educational program directors will ensure material that represents direct affiliation with the University or the endorsement of the school, satisfies the writing and scholarly standards and meets security and policy review requirements in accordance with governing Air Force instructions.

## 12.6. Sponsored Program Processes.

### 12.6.1. External Requests and Prioritization.

12.6.1.1. The AU Sponsored Program Office will solicit and collect research topic ideas and questions from DAF and DoD research consumers. These will be identified through regularized, direct engagement with representatives from DAF/Combatant Commands (CCDRs)/MAJCOMs and other sponsors, as well as support from the AU Chairs.

12.6.1.2. The AU Sponsored Program Office will categorize topics and evaluate the availability and application of external funding.

12.6.1.2.1. Tier I: Urgent or complex request that requires coordination across school calendars, involves significant amounts of outside money, and/or needs priority recruiting and registration of students.

12.6.1.2.1.1. The AU Sponsored Program Office will:

12.6.1.2.1.1.1. Determine if AU has sufficient faculty capable and available to lead a research task force.

12.6.1.2.1.1.2. Negotiate calendar coordination.

12.6.1.2.1.1.3. Develop a MOA between the sponsor and AU to determine the product desired and funding needed, in coordination with the proposed RTF lead.

12.6.1.2.1.1.4. Track progress and confirm delivery of output to sponsor and solicit feedback.

12.6.1.2.1.1.5. Add topic to the AU RTL.

12.6.1.2.2. Tier II: Short duration requests that require few resources, or which can be incentivized with in-house funding, but which are of sufficient urgency from DAF/DoD to merit AU effort.

12.6.1.2.2.1. The AU Sponsored Program Office will:

12.6.1.2.2.1.1. Determine if AU has a program or faculty capable and available handle the research question.

12.6.1.2.2.1.2. Develop a MOA between the sponsor and AU to determine the product desired and funding needed, in coordination with the AU faculty involved.

12.6.1.2.2.1.3. Track progress and confirm delivery to sponsor and solicit feedback.

12.6.1.2.2.1.4. Add topic to the AU RTL.

12.6.1.2.3. Tier III: Topics of interest to the AF/DoD, but which are not of sufficient gravity, urgency, or without accompanying resources.

12.6.1.2.3.1. The AU Sponsored Program Office will add the topic to the AU RTL.

## 12.6.2. Monitoring.

12.6.2.1. In collaboration with the AU/CAO, the Sponsored Program Office have the primary responsibility of tracking scholarship within AU. AU HRPP Personnel are responsible for tracking all scholarship that meets the definition of research according to the HRPP protocols.

12.6.2.2. Faculty and students interested in working on a particular topic on the AU RTL should notify to the AU Sponsored Program Office to obtain the sponsor's contact information and any additional relevant information, such as possible funding or additional requirements.

12.6.2.3. Ongoing Student Scholarship. The Sponsored Program Office will track student scholarship through the Chiefs of Research and Publication or equivalent at each school, center, or program.

12.6.2.3.1. Chiefs of Research and Publication at each resident school will provide the AU Sponsored Program Office with a list of ongoing year-long research projects (AWC PSPs, SAASS theses, ACSC independent studies, etc.) by 1 December. This list will include the name and contact information of the student, the title of their tentative project, and their advisor.

12.6.2.3.2. The Chief of Research at the Global College of Professional Military Education will provide a list of the approved research proposals within a week of the completion of each Research/Elective 1 (RE-1) course in the Online Master's Program.

12.6.2.3.3. The AF Fellow Director will provide the AU Sponsored Program Office with a list of AF Fellows within one week of the deadline for AF Fellows selecting their research topics. This list will include the name and contact information of the fellow, the title of their tentative project, and their local mentor/advisor.

12.6.2.3.4. Chartered RTFs will report the status of on-going research to AU Sponsored Program Office on a monthly basis. Blue Horizons will provide a summary of projects briefed to CSAF and CSO within 30 days of class graduation.

12.6.2.3.5. SOS Think Tank and AUAR seminars will report the topics of their scholarship projects to the Sponsored Program Office at the midpoint of the class session and provide a finalized list within a month of each cycle's graduation.

12.6.2.4. Completed student and faculty scholarship. The Sponsored Program Office will be supplied with completed student scholarship through the Chiefs of Research and Publication or equivalent at each school, center, or program.

12.6.2.4.1. Chiefs of Research and Publication will maintain situational awareness of their faculty's scholarship and advise the Sponsored Program Office on their suitability and availability to participate in AU research projects.

12.6.2.4.2. Chiefs of Research and Publication on the Maxwell-Gunter campus will submit all unclassified works of scholarship to the AU Sponsored Program Office in a timely manner. Research Task Force leads will provide copies of all student research to the AU Sponsored Program Office.

12.6.2.4.3. The AU Sponsored Program Office will submit the papers to AU Public Affairs (AU/PA) for formal Security and Policy review. Upon completion of the review and approval by AU/PA, the papers will be provided to the AU Library which will enter them into the AU Student Paper database.

12.6.2.4.4. AFIT will post AFIT student research papers to Defense Technical Information Center (DTIC), as appropriate.

12.6.2.4.5. If the student scholarship is responding to a sponsored question or topic, the AU Sponsored Program Office will provide the sponsor with a copy of the completed work.

### 12.6.3. External Funds.

12.6.3.1. AU faculty and staff are encouraged to conduct research under the sponsorship and with financial subsidies of the DAF, DoD, and federal agencies.

12.6.3.2. IAW 10 U.S.C. §9414 and §9487, the AFIT and AWC are currently the only AU organizations that are permitted to compete for and accept research grants from a corporation, fund, foundation, school, or similar entity. The AFIT and AWC commandants, or their designated official, will report the status of research grants to the AU Sponsored Program Office.

12.6.4. Internal Funds. The AU Sponsored Programs Office administers AU research funds to support the advancement of the AU mission. This process seeks to ensure that AU resources are allocated in a way that facilitates scholarship across AU institutions.

12.6.4.1. Faculty and students will submit their proposals to use AU Research funds through the process of their respective school or center.

12.6.4.2. The Chiefs of Research or Publication will:

12.6.4.2.1. Vet these proposals to ensure that they met academic standards and that applicants have the permission of their supervisors.

12.6.4.2.2. Coordinate with their Deans or supervisors before submitting the approved proposals to the AU Sponsored Programs Office.

12.6.4.3. The AU Sponsored Programs Office will:

12.6.4.3.1. Coordinate with the applicant to determine appropriate AU funding in proportion to the funding needed and the expertise of the applicant.

12.6.4.3.2. Gain approval of A3 and CAO for proposed funding level.

12.6.4.3.3. Submit memo of record to applicant's commander or supervisor.

12.6.4.4. Applicant's commander or supervisor is responsible for ensuring that applicants carry out their duties as outlined in the aforementioned memo.

12.6.4.5. Recipients of AU funds must provide status of on-going scholarship on a quarterly basis to the Sponsored Programs Office until project is completed.

12.6.4.6. The AU Sponsored Programs Office will track the level of unassigned funds, monitor the progress of AU internally funded scholarship, and report status monthly to CAO and A3.

## **12.7. Formal and Informal Organizations for Scholarship.**

12.7.1. Research Taskforce (RTF).

12.7.1.1. RTF are formed when the scope, complexity or other factors of an issue under study merit formally organized effort.

12.7.1.2. RTFs will vary in size, composition, capability, duration, and other attributes based on the resources committed to addressing the issue assigned.

12.7.1.3. RTFs may include faculty, staff, or students (resident or non-resident) in any combination.

12.7.1.4. Each RTF will have a MOU/MOA approved by CAO and A3 specifying the focus of research efforts, deliverables, resources committed, and timelines for completion of the assigned project.

12.7.1.5. NLT 1 May each year, the Sponsored Programs Office will propose RTFs for the next academic year to CAO and A3. In turn, NLT 1 June, CAO and A3 will recommend a proposed list of RTFs for AU/CC approval for the next academic year.

12.7.1.6. When an RTF includes students participating in AU courses, the respective school's faculty and dean remain responsible for ensuring that the course meets all academic requirements such as appropriate faculty qualifications, grading standards, deliverables, academic rigor, proper accounting for course credit, compliance with school and AU policies.

12.7.2. Communities of Interest (COI).

12.7.2.1. Communities of Interest (COI) are formed by scholars to support informal engagement on particular topics.

12.7.2.2. COI are open to faculty members, students, and individuals inside and outside of AU who are interested in the research occurring at AU within each relevant area.

12.7.2.3. The Sponsored Program Office provide certain services for AU COI, such as coordinating and publicizing each COI.

12.7.2.4. Creation of a COI requires the following two pieces of information:

12.7.2.4.1. Subject matter that will serve as focus for COI.

12.7.2.4.2. A Point of Contact (POC) who is designated to coordinate and organize potential COI activities.



## Chapter 13

### AU COURSE SCHEDULING, STUDENT PRODUCTION REPORTING, AND LODGING MANAGEMENT POLICIES AND PROCEDURES

**13.1. Purpose.** To codify roles and responsibilities of key AU organizations involved in AU Course Scheduling, Student Production Reporting, and Lodging Management and to define related policies and procedures. AFIT course scheduling and student production processes, including coordination with appropriate offices at the Maxwell-Gunter campus, will be described in the AFIT Supplement to this instruction.

#### **13.2. Roles and Responsibilities.**

##### 13.2.1. Chief, Operations Plans and Programs (A3O) Responsibilities.

13.2.1.1. Collect, maintain, and store enterprise data related to AU student production in the AU Registrar Education Program Management (AUREPM) System and any subsequent follow-on system created with the enterprise-level Student Information System, which will continue to be the official repository for all AU course/class data and student records.

13.2.1.2. Maintain specific support data and the assignment of user roles and privileges for the support data.

13.2.1.3. Report AU student production via the AU Operations and Planning Schedule (AUOPS) Report and other reporting mechanisms as directed.

13.2.1.4. Coordinate with AU Centers/Schools as necessary to ensure timely and accurate reporting of student production data.

13.2.1.5. Approve the upcoming FY overall course/class schedule based on the annual schedule build data call.

13.2.1.6. Coordinate and synchronize the use of on-base lodging facilities with AU Centers/Schools and the 42 ABW lodging management office and lead Lodging Steering Committee meetings.

13.2.1.7. Coordinate and establish lodging management policies regarding lodging use for AU students.

##### 13.2.2. AU School Responsibilities.

13.2.2.1. Report student production data to the AU Registrar's Office.

13.2.2.2. Assign POCs to update the AU database and provide production data not maintained in the AU data repository. This includes (but not limited to) updating course Graduate data NLT one workday after course completion, editing lodging requirements when the course delivery method changes (i.e., in-resident to online), etc.

13.2.2.3. Consistently, accurately, and expeditiously update the AU database as course information changes. Contact base lodging management whenever lodging requirements change.

13.2.2.4. Submit annual schedules during the AUOPS annual schedule build (data call), ensure data is updated during execution, and provide data for end of year reporting as

required. The purpose of the data call is to build the upcoming FY overall course/class schedule, and to collect initial requirements for Maxwell-Gunter group lodging.

#### 13.2.3. Maxwell Base Lodging Office Responsibilities.

13.2.3.1. Review the AU database for course and event lodging requirements and ensure requests are transferred into the lodging management system.

13.2.3.2. Provide the AU Registrar Production Branch with the total rooms available prior to the annual schedule build and provide notification of changes as far in advance as possible.

13.2.3.3. Input the reservation number and location of lodging for the group into AU database.

13.2.3.4. Attend Lodging Steering Committee Meetings and assist with resolution of lodging conflicts.

### 13.3. AU Course Scheduling and Student Production Reporting Policy.

13.3.1. The Air University Enterprise Educational Management System (EEMS) provides the official repository for all AU course/class data and student records. The school/unit POCs will enter and update student quota production and lodging requirements in EEMS in order to effectively manage resources and for production reporting purposes.

13.3.2. The AU Operations and Production Schedule (AUOPS). The AUOPS is the master schedule of every program offered at the Maxwell-Gunter campus along with other scheduled events that require lodging. The schedule is not considered final until the annual schedule build is completed and approved by A3, as schools may be required to adjust schedules for various reasons.

13.3.3. For official courses, the AUOPS is based on the FY quota requirements approved in the appropriate programming document (AFERB PGLs, PME PGLs, Total Force Accessions Program Guidance Letter (APGL), Conference, etc.). Group lodging/team integrity for courses and special events held on Maxwell-Gunter AFB are collected during the data call. While this applies primarily to AU schools and units, and will address official courses, seminars and workshop reporting, non-AU units at the Maxwell-Gunter campus have data incorporated into this call as well. **NOTE:** AFIT is not part of this data call process.

### 13.4. Lodging Policy.

13.4.1. General. AU has an "On-Base First" policy for Maxwell-Gunter lodging to maximize use of on-base lodging for official travelers to AU. The overall intent is to save money by optimizing how we billet personnel who are TDY to AU. Billeting personnel off base, when there are empty base lodging rooms is significantly more expensive per day. These inefficiencies aggregate to millions of dollars per year in unneeded TDY costs. Those resources could be better applied elsewhere. Specific elements that embody this "On-Base First" policy are:

13.4.1.1. Team Integrity Approval. Grouping TDY students in off-base lodging for team integrity purposes requires AU/CV approval. Centers/Schools requesting team integrity for lodging purposes will route an eSSS through the A3 for AU/CV approval.

13.4.1.2. Lodging Priority. A3 will maintain an on-base priority list and the Maxwell Inn Lodging Office will use this prioritization to determine on-base preference when blocking and scheduling rooms. A3O will directly work any conflicts between units as they arise.

13.4.2. Cross-base Lodging Utilization. Personnel attending AU events will use available lodging at both Maxwell and Gunter Annex, regardless of event location, prior to obtaining off-base lodging. Waiver requests must be routed via eSSS through the A3 for AU/CV approval.

### **13.5. Lodging Management Procedures.**

13.5.1. Team Integrity. The AU/CV is the approval authority for all team integrity requests. Centers/Schools requesting team integrity for lodging purposes will route an eSSS through the A3 for AU/CV approval and should address the following criteria:

13.5.1.1. Rationale. What out-of-class actions require team members be billeted together?

13.5.1.2. Proof team integrity can be maintained off-base. How will all students be guaranteed lodging in the same hotel?

13.5.1.3. Applied to smallest group possible. At what level (i.e., flight, seminar, or entire class) should team integrity apply and why?

13.5.1.4. Process for handling individuals who cannot be billeted on base with the team. (i.e., accompanied students with families or pets, TDY en-route, etc.).

13.5.2. On-base Lodging Priority. A3 will maintain an on-base priority list and the Maxwell Lodging Office will use this prioritization to determine on-base preference when blocking and scheduling rooms. A3O will directly work any conflicts between units as they arise.

13.5.3. A3 and the AU/UR will conduct a review of the Maxwell-Gunter Base Lodging Priority list in conjunction with the AU Master Course schedule, which is built every year, or when significant changes are requested or identified that warrant updates. Commanders can submit a priority request change via A3 prior to the AU Operations and Production Schedule build. This build will be initiated upon AU receipt of the new/next FY Program Requirements Documents and/or Program Guidance Letters from Headquarters Air Force (HAF) and AETC. Changes will take effect at the beginning of the next FY. However, out-of-cycle requests will be considered should mission requirements indicate the need to do so. Requests should include the following information:

13.5.3.1. How critical is base lodging to the curriculum?

13.5.3.2. What DoD or civilian community commitments require base lodging (i.e., funding, special facilities)?

13.5.3.3. What other factors require base lodging (i.e., after-hour access, exercise/contingency operations support, student demographics, etc.)?

13.5.4. Final Lodging Rosters. Event coordinators at AU Centers/Schools will submit final lodging rosters to University Inn personnel for TDY-to-School courses and events NLT 14 calendar days prior to the check-in date for an event, unless mission needs, or other circumstances dictate otherwise. This 14-day suspense allows lodging to release previously blocked rooms in a timely manner to support other base lodging requirements. This, in-turn, improves lodging utilization.

### 13.6. Course Scheduling and Student Production Reporting Procedures.

13.6.1. AUOPS Initial Schedule Build. School/Organization POCs will input the number of quotas “Programmed/Scheduled” for each category of student. For courses listed on a programming document, the total “Programmed” for all classes must equal the programmed allocation for the overall course.

13.6.2. Lodging Request. AU schools and tenant units will request lodging for students attending official education programs or approved educational events using the AU database regardless of the number of students attending. Maxwell tenant units and other units requesting lodging for groups of 10 or more attending workshops or seminars or special events (SE) will also use the AU database to reserve blocks of rooms, or if access is not practical, contact Registrar Support to input the request. 42 ABW/CCP (or designate) will submit request for special events for non-Maxwell units and special base events such as visiting bands, air shows, etc.

13.6.2.1. Program/Event POCs enter lodging requirements in AU database simultaneously with building the class or offering. The Registrar Support Branch program analyst reviews requirements and processes valid submissions. Lodging pulls requirements from AU database, makes block reservations in their system, and manages reservations following processes outlined in AFMAN 34-135, *Air Force Lodging and Air Force Laundry and Linen Exchange Programs*, and AFPD 34-1, *Air Force Services Reservist Lodging Program Policy and Procedures*. Schools and event sponsors must send finalized student rosters to the lodging office NLT 14 days prior to the student arrival date. Immediately notify lodging management of all short-notice roster changes and update AU database room requirements accordingly. Failure to do so will drastically impact room allocation and availability.

13.6.3. AUOPS Execution Year Maintenance. After validating the production schedule, A3 analysts continue to maintain the class schedule. Production data accuracy is validated periodically through coordination with school and event representatives to create FY end-of-year reports.

13.6.3.1. Scheduled numbers will be reviewed periodically and updated in AU database within one workday following the known schedule change. These numbers are reviewed by several AU offices (AU/OAA, FMAM, FMAP, etc.) to project funding or student load.

13.6.3.2. The total number of students scheduled for a class offering should reflect the number expected to attend at the time the class starts as reflected in OTA or registered for the course in some other manner. Upon student arrival, do not change the scheduled number to equate to the actual entered number. For AU course classes held at Maxwell-Gunter, a change in Scheduled numbers generally means a change in lodging as well.

13.6.3.3. Entered numbers will be submitted NLT close of business (COB) of the next workday following the start date. This applies to all course methods of delivery with the exception of self-paced distance learning. For self-paced distance learning that does not automatically flow student data into AU database, the school POC will ensure “Entered” data is updated each month, NLT COB of the first business day of the following month. For all inputs, the status for reporting entered numbers will be “E-Class Entered.”

13.6.3.4. If there are late arrivals (arrive after the Entered submission has been processed), an update must be made to previously reported numbers in the system NLT COB of the next workday following the student arrival.

13.6.3.5. Graduated numbers will be submitted NLT COB of the next workday following the course end (graduation) date. This applies to all course methods of delivery with the exception of self-paced distance learning. For self-paced distance learning that does not automatically flow student data into AU database, the school POC will ensure “Graduate” data is entered.

13.6.3.5.1. If a student leaves prior to course completion, they are not counted in the total graduates and are not listed on the Graduate Roster as completing the course. Graduate numbers in AU database must match Graduate rosters exactly in total numbers as well as student component.

13.6.3.6. Cancellations will be updated by the school’s POC in AU database NLT COB of the next workday following cancellation notification. The submission status will be listed as “CX- Class CANCELLED (previously scheduled).” The “Scheduled” quotas and any lodging requests (Maxwell-Gunter only) must be manually “zeroed out.” Original dates and lodging arrival-departure dates should remain in the system.

13.6.3.7. If a course is postponed, school and event representatives must select the ‘Postponed’ box in AU database. When the ‘Postponed’ is checked for the first time, AU database auto-populates the Original Start and Original End dates with the offerings current start and end (and not what is in the start/end date boxes to the left). The Original Start and End dates are not editable by the user to preserve the very first iteration of start and end dates. Checking the box in the future does not change this data.

## Chapter 14

### AWARDS AND RECOGNITION

**14.1. Purpose** . Establishes nominating and selection criteria procedures for University-level awards and recognition.

**14.2. Roles and Responsibilities.**

14.2.1. AU/CC confers University-level awards and recognition upon the recommendation of AU/CAO.

14.2.2. AU/OAAU will manage processes for soliciting nominations and selecting individuals to receive University-level awards. AU/OAAU will:

14.2.2.1. Coordinate with appropriate AU staff and external presenters for awards ceremonies.

14.2.2.2. Purchase engraved trophies, draft ceremony scripts, and coordinate citations and scripts with appropriate AU staff and external presenters.

14.2.2.3. Coordinate with appropriate Air Force personnel for presenters commensurate with the prestige of the award.

14.2.3. Center Commanders and School Commandants will develop a process to nominate candidates to compete for each award category.

14.2.3.1. Nomination packages will consist of a narrative justification for the award, an Air Force biography, and a proposed citation (one page each).

14.2.3.2. The nominating command will be responsible for travel and per diem for honorees who must travel TDY to attend award ceremonies.

14.2.3.3. Honorees are responsible for the meals, travel, and costs of their spouse and other guests unless supervisors or school leaders choose to fund.

14.2.3.4. All awards and recognition must ensure appropriated and non-appropriated funds are not obligated to purchase awards except as authorized by AFMAN 34-201, *Use of Nonappropriated Funds (NAF)*, AFMAN 65-601V1, *Budget Guidance and Procedures*, AFMAN 36-2806, *Awards and Memorialization Program*.

**14.3. Types of Education Awards.**

14.3.1. SecAF Leadership Awards.

14.3.1.1. The SecAF Leadership Awards are presented annually to recognize faculty, staff, and students/cadets who exhibit exemplary leadership, character, and ethical behavior.

14.3.1.2. Center Commanders and School Commandants may nominate one faculty/staff member in each of the following categories as applicable: Senior Noncommissioned Officer (SNCO), Noncommissioned Officer (NCO), Company Grade Officer (CGO), Field Grade Officer (FGO), and civilian.

14.3.1.3. Center Commanders and School Commandants may nominate one student/cadet in each of the following categories as applicable: Senior Noncommissioned Officer

(SNCO), Noncommissioned Officer (NCO), Company Grade Officer (CGO), Field Grade Officer (FGO), civilian, and cadet.

14.3.1.4. The AU/CAO will assemble a board of O-6 Colonels to determine the SECAF Leadership Award winners for each category.

14.3.2. AETC Educator of the Year Awards.

14.3.2.1. The AETC Educator of the Year award recognizes individual faculty members who have made outstanding contributions to AETC's mission during the academic year.

14.3.2.2. Center Commanders and School Commandants may nominate one faculty member as AETC Educator of the Year in each of the following categories: officer, enlisted, and civilian.

14.3.2.3. Based on the outcome of peer-review, the AU/CAO recommends one faculty member from each category to the AU/CC for approval and notification to the AETC/CC.

14.3.3. The General Muir S. Fairchild Educational Achievement Award.

14.3.3.1. The award is given each year for the most significant contribution to Air University's educational mission or to Air Force education in general. The award is sponsored by the Order of Daedalians, represented by their local chapter, Founders Flight.

14.3.3.2. Center Commanders and School Commandants may nominate faculty, staff, students, working groups, teams, schools, and directorates.

14.3.3.3. AU/CAO recommends one recipient to the AU/CC for approval based on the outcome of peer-reviews.

14.3.4. The AETC Accessions Instructor of the Year Award.

14.3.4.1. The AETC Officer Accessions Instructor of the Year Award recognizes an individual faculty member who has made outstanding contributions to AETC's mission during the academic year as an officer accessions instructor.

14.3.4.2. The award is presented annually to the instructor having the greatest impact on Accessions education.

14.3.4.3. The Holm Center Commander may nominate one faculty member and AU/CAO delegates the responsibility for the selecting the winner to the Holm Center Commander.

14.3.4.4. AU/OAA will purchase the trophy upon notification of the winner.

**14.4. Recognition of Outstanding Academic Performance.**

14.4.1. Centers and Schools are authorized to establish criteria for the recognition of outstanding academic performance by students. The Deans and Academic Directors of the Centers and Schools will provide academic recognition program description for the AU Catalog (AU-10).

14.4.2. Centers and Schools with an established Distinguished Graduate (DG) program to recognize exceptional academic performance will award this recognition to no more than ten percent of graduates annually for each program.

14.4.2.1. Centers and Schools may establish a Top Graduate (TG) program as part of their DG program to recognize overall exceptional performance beyond mastery of all program learning outcomes to include areas as leadership, character, and ethics.

14.4.3. Centers and Schools may establish a Commandants' recognition program to honor outstanding student accomplishments not recognized under a DG program.

#### **14.5. AU Honorary Degree.**

14.5.1. The AU/CC as authorized by the SecAF may confer honorary degrees upon the recommendation of the faculty, staff, or the Board. Honorary degrees will only be awarded at the AU level.

14.5.2. Types of honorary doctorates. Doctor of Letters, Doctor of Laws, or Doctor of Science, *honoris causa*.

14.5.2.1. Doctor of Letters, *honoris causa* recognizes individuals who have made extraordinary contributions in the arts, letters, education, industry, commerce, or labor;

14.5.2.2. Doctor of Laws, *honoris causa* recognizes individuals who have made extraordinary contributions in government, public service, civic, or community affairs; and

14.5.2.3. Doctor of Science, *honoris causa* recognizes individuals who have made extraordinary contributions in the sciences.

14.5.3. Undergraduate honorary degree.

14.5.3.1. Types of undergraduate degree. Associates in Applied Science in Military Leadership and Service, *honoris causa*.

14.5.3.2. Associate in Applied Science, *honoris causa* recognizes extraordinary service that contributed to the advancement of Air Force mission and Airmen leadership.

14.5.3.3. CCAF Honorary Degree, *honoris causa* recognizes extraordinary contributions to the mission of the CCAF.

14.5.3.3.1. Eligibility and criteria. As authorized and approved by AU/CAO, CCAF will on occasion nominate an individual(s) who has made significant lasting contributions to the mission of CCAF. The individual must well-represent the legacy of the CCAF degree as the premier degree awarded to DAF the Air Force enlisted personnel. Those nominated must be of sufficient stature to enhance the prestige of the College, the University, the DAF and to the enlisted Airmen and Guardians the degree represents.

14.5.3.3.2. Eligibility and criteria. The achievements for which an honorary doctorate and undergraduate degree are awarded should contribute directly to the success of AU, the USAF, or the nation. A recipient of the degree is forever associated with the University; therefore, those nominated must be of sufficient stature to bring additional prestige to the University. Normally, AU faculty and staff are ineligible for an honorary degree at AU.



**14.6. Process.**

14.6.1. AU/CC issues guidance for AU Honorary Degrees on a periodic basis and makes the final selection based on recommendations of the Faculty Senate, the Board, and AU/CAO.

14.6.2. AU/CC considers the candidate(s) and makes the final decision on awardee(s), coordinates acceptance from the awardee(s), and officially announces awardee(s).

14.6.3. AU/CAO coordinates the process for nomination, selection, and conferral of honorary degrees.

14.6.4. The AU Faculty Senate solicits nominations, reviews nominations, and recommends individuals through the AU/CAO based on AU/CC's Honorary Degree guidance.

14.6.5. Nomination Package.

14.6.6. The nomination packages will include a minimum of the following:

14.6.6.1. A narrative justification of the candidates' extraordinary contributions in education, government, public service, civic affairs, community affairs, industry, commerce and labor; and the arts, letters, and sciences.

14.6.6.2. A brief biography or curriculum vitae including photograph. Contact information (current title, address, email, telephone, and fax).

14.6.6.3. A draft letter of invitation prepared for AU/CC signature.

14.6.7. Conferral. AU will award an honorary degree during faculty convocations or program graduation ceremonies

14.6.7.1. Normally, AU faculty and staff are ineligible for an honorary degree at Air University.

14.6.7.2. A recipient of an AU honorary degree will be referred to using the appropriate honorific (e.g., "Doctor") at all future interactions with the University.

14.6.7.3. AU will furnish appropriately configured regalia for the honoree to wear during the ceremony.

**14.7. Posthumous Degree Policy.**

14.7.1. In the unfortunate event of a student's death, AU may confer the degree or certificate posthumously to the student. To award a degree, the student will have completed all or nearly all of the degree requirements. Request to award a posthumous degree requires AU/CC and AU/CAO prior approval.

JAMES B. HECKER, Lieutenant General, USAF  
Commander and President

**Attachment 1****GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION*****References***

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Title 10, United States Code, *Armed Forces*

Title 10, United States Code, Section 9414, *Degree Granting Authority*

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Title 10, United States Code, Section 9417, *Degree Granting Authority*

Title 17, United States Code, *Copyright Law*

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10 U.S.C. 980<sub>2</sub>, “Limitation on Use of Humans as Experimental Subjects”

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21 CFR 312, “Investigational New Drug Application”

21 CFR 600, “Biological Products”

21 CFR 812, “Investigational Device Exemptions”

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AFPD 36-27, *Equal Opportunity*, 18 March 2019

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AFPD 99-1, *Test and Evaluation*, 20 June 2018

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AFI 33-324, *The Air Force Information Collections and Reports Management Program*, 22 July 2019

AFI 33-332, *Air Force Privacy and Civil Liberties Program*, 12 May 2020

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***Prescribed Forms***

AU Form 6, *Student Complaint/Grievance Application*

AU Form 49, *Request Leave of Absence*

AU Form 50, *Request to Create or Change a Concentration*

AU Form 51, *Air University Course Assessment*

AU Form 52, *Education and Training Course Announcement (ETCA) Worksheet*

AU Form 54, *Emerging Programmatic Initiatives for Change (EPIC) Worksheet*

AU Form 747, *Record of Administrative Action*

***Adopted Forms***

AETC Form 620, *Academic Instructor Monitoring Checklist*

AF Form 847, *Recommendation for Change of Publication*

OGE 450, *Executive Branch Confidential Financial Disclosure Report*

***Abbreviations and Acronyms***

**ABET**—Accreditation Board for Engineering and Technology

**ACSC**—Air Command and Staff College

**ACSC OLMP**—ACSC Online Master’s Program

**AETC**—Air Education and Training Command

**AFERB**—Air Force Education Requirements Board

**AFI**—Air Force Instruction

**AFIT**—Air Force Institute of Technology

**AFIT/CAO**—Air Force Institute of Technology/Chief Academic Officer

**AFIT/CL**—Air Force Institute of Technology/Director and Chancellor

**AFPC**—Air Force Personnel Center

**AFPD**—Air Force Policy Directive

**AFR**—Air Force Reserve

**AFRIMS**—Air Force Records Information Management System

**AFROTC**—Air Force Reserve Officer Training Corp

**AFSNCOA**—Air Force Senior Noncommissioned Officer Academy

**AICE**—Association of International Credential Evaluators

**AIO**—Authorized Institutional Officer

**APGL**—Accessions Program Guidance Letter

**AU**—Air University

**AU/A1**—Air University Director, Manpower and Personnel  
**AU/A3**—Air University Director of Operations  
**AU/A3O**—Air University Chief, Operations Plans and Programs  
**AU/A6**—Air University Communications  
**AU BoV**—Air University Board of Visitors  
**AU/CAO**—Air University Chief of Academic Affairs and Accreditation  
**AU/CAO**—Air University Chief Academic Officer  
**AU/CC**—Air University Commander and President  
**AU/CCC**—Air University Command Chief  
**AU/CG**—Air University Guard Advisor to Air University Commander and President  
**AU/CL**—Air University Director, Academic Services  
**AU/CV**—Air University Vice-Commander  
**AU/FM**—Air University Director, Financial Management  
**AU/FMAM**—Air University Financial Management Integration  
**AU/FMAP**—Air University Financial Management Programs  
**AU/IA**—Air University International Affairs  
**AU/JA**—Air University Staff Judge Advocate  
**AUL**—Air University Library  
**AULIMP**—Air University Index to Military Periodicals  
**AU/LL**—Air University Director, Air University Library  
**AU/OAA**—Air University Office of Academic Affairs  
**AU/OAAB**—Air University Chief of Advisory Boards and Strategic Operations  
**AU/OAAG**—Air University Chief of Graduate Professional Education and Program Enhancement  
**AU/OAAD**—Air University Chief of Innovation and Planning  
**AU/OAAE**—Air University Chief of Institutional Effectiveness  
**AU/OAAF**—Air University Chief of Faculty Relations  
**AU/OAAI**—Air University Chief of Institutional Analytics  
**AU/OAAM**—Air University Fellows Program Manager  
**AU/OAAU**—Air University Chief of Undergraduate and Professional Continuing Education  
**AU/RF**—Air University Reserve Advisor to Air University Commander and President  
**AU/UR**—Air University Registrar  
**AWC**—Air War College

**AY**—Academic Year  
**CAC**—Common Access Card  
**CAG**—Commander’s Action Group  
**CAO**—Chief Academic Officer  
**CC**—Commander  
**CCAF**—Community College of the Air Force  
**CPO**—Civilian Personnel Office  
**CY**—Calendar Year  
**DFO**—Designated Federal Officer  
**DG**—Distinguished Graduate  
**DL**—Distance Learning  
**DoD**—Department of Defense  
**DoDD**—Department of Defense Directive  
**DoDI**—Department of Defense Instruction  
**DoED**—United States Department of Education  
**DSCA**—Defense Security Cooperation Agency  
**DTIC**—Defense Technical Information Center  
**ECPD**—Eaker Center for Professional Development  
**ELC**—English Comprehension Level  
**EPR**—Educational Program Review  
**ETCA**—Education and Training Course Announcement  
**E&TS**—Education and Training Staff  
**FACA**—Federal Advisory Committee Act  
**FM**—Financial Management  
**FOIA**—Freedom of Information Act  
**FPP**—Faculty Pay Plan  
**FY**—Fiscal Year  
**HHQ**—Higher Headquarters  
**HLC**—Higher Learning Commission  
**HQ**—Headquarters  
**HRPP**—Human Research Protection Program  
**IAW**—In Accordance With

**IE**—Institutional Effectiveness  
**IT/ET**—Information Technology/Educational Technology  
**IOS**—International Officer School  
**IRB**—Institutional Review Board  
**IR**—Institutional Research  
**ISD**—Instructional System Development  
**MAJCOM**—Major Command  
**MICT**—Management Internal Control Toolkit  
**MSFRIC**—Muir S. Fairchild Research Information Center (name changed to AU Library)  
**NACIQI**—National Advisory Committee on Institutional Quality and Integrity  
**NDS**—National Defense Strategy  
**NLT**—No Later Than  
**OCR**—Office of Coordinating Responsibility  
**OGE**—Office of Government Ethics  
**OLMP**—Online Master’s Program  
**OPI**—Oral Proficiency Interview  
**OPR**—Office of Primary Responsibility  
**OSD**—Office of Secretary of Defense  
**PAJE**—Process for the Accreditation of Joint Education  
**PCE**—Professional Continuing Education  
**PCS**—Permanent Change of Station  
**PLA**—Prior Learning Assessment  
**PME**—Professional Military Education  
**POC**—Point of Contact  
**POM**—Program Objective Memorandum  
**PRB**—Program Review Board  
**RE-1**—Research/Elective 1  
**RTF**—Research Task Force  
**ROTC**—Reserve Officer Training Corps  
**QEP**—Quality Enhancement Plan  
**QIP**—Quality Initiative Project  
**SAASS**—School of Advanced Air and Space Studies



**SACSCOC**—Southern Association of Colleges and Schools, Commission on Colleges

**SCN**—Survey Control Number

**SCO**—Survey Control Officer

**SecAF**—Secretary of the Air Force

**SecDef**—Secretary of Defense

**SGE**—Special Government Employees

**SNCOA**—Senior Noncommissioned Officer Academy

**SOC**—Squadron Officer College

**SSAC**—Society of Strategic Air Command, Inc.

**TG**—Top Graduate

**TIG**—Time-in-Grade

**TLC**—Teaching and Learning Center

**TMT**—Task Management System

**TOEFL**—Test of English as a Foreign Language

**UCMJ**—Uniform Code of Military Justice

**USAFTPS**—United States Air Force Test Pilot School

**VP**—Vice President

**WG**—Working Group

### *Terms*

**Academic Cooperative (or Transfer) Agreements**—Are agreements by institutions accredited by SACSCOC and other parties where AU records credits on its transcript as its own without delivering all of the educational process for those credits. Cooperative academic arrangements require notification and a copy of the signed agreement be submitted prior to initiation.

**Academic Program Coordinator**—The administrative faculty member responsible for overseeing an educational program to ensure it contains essential curricular components, has appropriate content and pedagogy, and maintains discipline currency.

**Articulation Agreement**—Is an agreement among institutions to accept transfer credits from one institution(s) by the other institution(s).

**Assessment**—The process of collecting and analyzing information to determine if progress is being made toward a desired end. While this broad definition is applicable to a range of goals and organizational contexts, AALHE focuses on the assessment of student learning and institutional effectiveness within the context of higher education.

**Branch Campus**—A branch campus is an instructional site located geographically apart and independent of the main campus of the institution. A location is independent of the main campus if the location is (1) permanent in nature; (2) offers courses in educational programs leading to a degree, diploma, certificate, or other recognized educational credential; (3) has its own faculty and

administrative or supervisory organization; and (4) has its own budgetary and hiring authority. All branch campuses related to the parent campus through corporate or administrative control must (1) include the name of the parent campus and make it clear that its accreditation is dependent on the continued accreditation of the parent campus and (2) be evaluated during reviews for institutions seeking candidacy, initial membership, or reaffirmation of accreditation. Reference SACSCOC Glossary.

**Competency Based Learning**—An outcomes-based approach that gives credit to Airmen in the form of a certification or badge for the skills and knowledge they have demonstrated in performance. Reference AETC Definition.

**Competency Based Education**—Offers a flexible way for students to earn credit based on demonstration of subject-matter knowledge learned either through personalized guided instruction or examinations based on mastery of competencies.

**Competency-Based**—An outcomes-based approach focused on competencies that ultimately results in a form of credentialing, such as certification or badging. Competencies exist within the Air Force today. The Institutional Competency List identifies those general competencies that are applicable to all Airmen, such as leading, communicating, and so forth.

**Course Assessment**—Is an assessment that occurs in a course and determine how well a course meets the specified student learning outcomes.

**Direct Measures of Learning**—Are those that measure student learning by evaluating examples of student work, such as oral presentations, writing assignments, theses or dissertations and exams (e.g., course embedded assessments).

**Distance Learning (DL)**—A program or course deliberately designed to use one or more technologies to deliver all assignments and other coursework required for completion/graduation to students who are separated from the source of instruction; this method of delivery may be synchronous or asynchronous. By design, the distance/online format does not require students to meet at a central location.

**Educational Program**—An approved educational unit made up of a collection of courses that result in a credential (e.g., degree, diploma, or certificate). AU Centers and Schools should organize their offerings into program groupings to the maximum extent possible for institutional effectiveness and assessment purposes.

**Fellowship**—A career-broadening professional development opportunity for which an Airman is selected (either by an Air Force Developmental Education Designation Board, a special selection panel, or a senior leader) and participates in either in lieu of PME (e.g., Air Force Fellowship, Combat Air Force Fellowship, etc.) or as a follow-on assignment to PME (e.g., the faculty year of an Air University Fellowship).

**Faculty Sufficiency**—The number of full-time faculty required to ensure the quality, integrity, and regular review of an academic program. Note that full-time faculty members' efforts in performing these tasks may be judiciously supplemented by part-time faculty.

**Faculty-to-Student Ratio (FTSR)**—The ratio of faculty to active students in an academic program. For planning purposes, FTSR may also be established for individual courses, as the ratio of faculty to students. However, course-level FTSR alone is insufficient to operate a quality academic program.

**Full-time Faculty**—Faculty members who occupy authorized manpower positions established in Unit Manning Documents (UMD) or a Central Salary Account position. Note that contingent faculty are considered part-time, regardless of the number of hours they work.

**In-residence (IR)**—A program or course deliberately designed so that all activities, assignments and other coursework required for completion/graduation can be completed via face-to-face (residential) courses.

**Institutional Analytics**—Encompasses a broad range of data driven research, assessment, analyses, evaluation, and studies to support the institutional needs of AU for evidence-based decision making across the enterprise. Institutional analytics includes efforts in business analytics, academic analytics, learning analytics, predictive analytics, and action analytics.

**Individual Development Plan (IDP)**—A goal-driven document to guide faculty member's professional development efforts in concert with his/her supervisor/leadership. An IDP identifies desired or required knowledge and skills; links these to specific developmental activities; and anticipates resource requirements (time and money). IDPs document how faculty members will enhance their ability to perform assigned duties, increase their expertise, and be better Airmen when/if they leave AU.

**Indirect Measures of Learning**—Are those that measure student learning by assessing opinions or ideas about knowledge, skills, attitudes and perceptions. Academic program- or course- level examples of indirect measures include: student surveys including course evaluations, graduate exit interviews, and alumni or employer surveys.

**Institutional Effectiveness Assessment**—Focuses on the extent to which an institution is making progress towards its mission and vision. When engaged in this process, members of the higher education community use the information collected to inform action taken for improvement.

**Memorandum of Agreement (MOA)**—A type of intra-service, intra-agency, or inter-agency agreement between two or more parties, which includes specific terms that are agreed to, and commitment by at least one party to engage in action. It includes either a commitment of resources or binds a party to a specific action.

**Memorandum of Understanding (MOU)**—A type of intra-service, intra-agency, or inter-agency agreement between two or more parties, which includes only a general understanding between the parties. It neither includes commitment of resources nor binds a party to a specific action.

**Occupational Competencies**—According to AFD Annex 1-1, Force Development, Competencies, occupational competencies support overarching institutional competencies and are associated with a particular function or career field; they are found in supporting directives for those functions and career fields.

**Off Campus Instructional Site**—An off-campus instructional site is a teaching site located geographically apart from the main campus. A site at which an institution provides electronic delivery and where students go to access the support services needed is also considered an off-campus instructional site. The site is not independent of the institution's main campus. The site is a location where a student can obtain 25% or more credits toward an academic program (i.e., certificate or degree program). Reference SACSCOC Glossary.

**Outcome Based Education**—Is a learner-centered approach to education that focuses on what a student should be able to do in the real world upon completion of their course or program.

**Peer**—Other faculty members, regardless of pay plan, who have similar duties, comparable or greater expertise, the same or higher academic rank, and are not the supervisor of the individual under review.

**Peer Review**—The careful analysis of a faculty member’s performance based on professional standards by other knowledgeable academics. Peer review is a cornerstone of shared academic governance, which promotes self-regulation, accountability to colleagues, and academic excellence. Peer review results in a recommendation, not a decision.

**Prior Learning Assessment**—Prior learning assessment is a set of well-established, researched, and validated methods for assessing non-collegiate learning for college credit. It is a process that allows learners to demonstrate knowledge and skills in a particular field or fields and have that learning evaluated for college credit (CAEL).

**Quorum**—The smallest number of members required to be present at a meeting in order for decisions to be made.

**Scholarship**—An approach proposed by Dr. Ernest L. Boyer of The Carnegie Foundation for the Advancement of Teaching in 1990 to broaden the discussion of faculty members’ intellectual endeavors. Three forms of scholarship are particularly relevant to AU faculty members:

**Scholarship of Discovery—Creating Knowledge.** Aligns closely with traditional notions of academic research, which values in-depth, peer-reviewed publications as evidence. Examples could include books, chapters, articles, and conference papers.

**Scholarship of Integration—Connecting Knowledge.** Makes connections across disciplines, places specializations in perspective, synthesizes and interprets knowledge to produce new insights (e.g., focused studies, white papers, textbooks, and works that link knowledge from other areas to the military and air power).

**Scholarship of Application—Using Knowledge.** Applies knowledge to address immediate or persistent problems and issues in the profession (e.g., serving as a member of a Commander-Directed Investigation team, serving as a member of a staff assistance or IG team, consultation with operational units or staff organizations, and serving on boards and councils that govern or inform professional development processes and programs).

**Student Learning Outcome Assessment**—Student learning outcomes assessment is a process in which members of the higher education community identify what students should be able to do by the end of an educational unit and determine the degree to which they meet these goals. It also requires us to consider how to use the information systematically gathered on student performance to improve the teaching/learning process.

**Teaching Load**—The number of instructional hours (which may include time spent designing, developing, delivering, and/or assessing learning) assigned to a faculty member in a given semester or academic year.

**Virtual In-residence – Local (VIR-L)**—An in-residence program or course whereby faculty execute the curriculum virtually to deliver all activities, assignments and other coursework required for completion/graduation during an extraordinary event or contingency when full-time students on orders to the school's campus cannot participate in face-to-face instructional events. This method replicates (as much as possible) the in-resident experience to achieve the program outcomes to the degree the method supports. Students receive in-resident credit. This method

provides flexibility in changing conditions, allowing rapid return to a face-to-face environment when circumstances allow.

**Virtual In-residence – Remote (VIR-R)**—An in-residence program or course whereby faculty execute the curriculum virtually to deliver all activities, assignments and other coursework required for completion/graduation during an extraordinary event or contingency when students cannot travel to the school's campus or local area. Still treated as full-time students, via execution of "TDY in place" or similar measures, this method replicates (as much as possible) the in-resident experience to achieve the program outcomes to the degree the method supports. Students receive in-resident credit. Once implemented in this manner, only programs long enough to pause instruction for enough time to allow students to travel to the campus' local area could transition to a face-to-face environment.

**Attachment 2**  
**CHARTER TEMPLATE**

**Figure A2.1. Charter Template.**

Project Identification	<u>Title:</u> <u>Dates:</u> _____ <u>Location:</u>
Champion/ Chartering Authority	<u>Champion/Process Owner:</u> (Individual in an organization with the authority to commit and dedicate resources and identify the Chairperson)
Purpose/Problem/ Opportunity	Statement that describes the nature of the problem (in quantifiable terms). Include as many of the following as possible: what is happening, what should be happening, what is not happening, where it is happening, when it is happening and who is affected by the problem.
Meeting Frequency	Duration and Time Commitment
Impact:	Statement that describes how the problem affects the people and mission accomplishment.
Scope	Statement describing the depth and organizational breadth of the improvement event.
Brief Description of Current Process	Statement describing the process current state along with identifying gaps and opportunities for improvement
Desired/Anticipated Outcome	How recommendations will be addressed (i.e., corporate board, etc.).
Current Performance	Describe current performance in quantifiable terms
Supporting Resources	Quantifiable data that supports the problem/opportunity
Facilitator & Team Members	Facilitator: Team Lead: Others:
Goals/Deliverables	Describe the goals in quantifiable terms, including project deliverables and COAs (Submit slides to AU A3 as read-aheads for presentation within 3 duty days of meeting)
Potentially Affected Users	Statement listing who is affected by the problem, and who will be (will or may be) affected by the improvement/change

### Attachment 3

## PROGRAM ASSESSMENT RECORD (EXAMPLE)

**Figure A3.1. Program Assessment Record (Example).**

Academic Program:			Assessment Year:		
Academic Program Mission:					
Goals of the Academic Program:					
Outcome:	Please Check:	Assessment Measure:	Benchmark:	Assessment Results:	Use of Results:
	<input type="checkbox"/> Program Outcome  <input type="checkbox"/> Student Learning Outcome	Direct 1.  Direct 2.	1.  2.		<input type="checkbox"/> Yes, changes made; <input type="checkbox"/> No, no changes made. Explain:
	<input type="checkbox"/> Program Outcome  <input type="checkbox"/> Student Learning Outcome	Direct 1.  Direct 2.	1.  2.		<input type="checkbox"/> Yes, changes made; <input type="checkbox"/> No, no changes made. Explain:
	<input type="checkbox"/> Program Outcome  <input type="checkbox"/> Student Learning Outcome	Direct 1.  Direct 2.	1.  2.		<input type="checkbox"/> Yes, changes made; <input type="checkbox"/> No, no changes made. Explain:







## Attachment 6

### CURRICULUM MAP AND KEY ASSESSMENTS (EXAMPLE)

**Figure A6.1. Curriculum Map and Key Assessments (Example).**

*Overview: Curriculum Mapping and Key Assessments are the second and third steps in academic program effectiveness.*



Finney, S.J., Wells, J.B., Hanning, G.W. (2021). The need for program theory and implementation fidelity in assessment practice and standard. *National Association for Learning Outcomes Assessment*, 50, pp.1-19.

**A6.1. Curriculum Map.** A Curriculum Map ([Table A6.1](#)) links program outcomes (student-learning outcomes), what you expect students to know and be able to do once they complete the program, to specific courses in the curriculum.

A6.1.1. Individual courses and curricula should be developed within the program's goals and reflect a coherent plan of study.

A6.1.2. Curriculum mapping is a strategy that helps to identify which courses bear responsibility for particular outcomes and to make certain that the curriculum offers a rational sequence of courses. The curriculum should be organized so that each learning outcome's knowledge and skills are first introduced, further developed, mastered, and assessed.

A6.1.3. Curriculum mapping helps identify and illustrate how program goals are addressed and learning outcomes achieved through required and recommended coursework. The template below is provided to help you link program goals and outcomes to specific curriculum courses.



**Table A6.2. Key Assessment Instrument Worksheet Template.**

<b>Action Verb in each PLO</b>	<b>Knowledge, Skill, or Disposition Sought</b>	<b>Mode of Type of Assessment</b> (multiple choice test, writing sample, survey, observation)	<b>Theoretical Underpinning</b>	<b>Type of Outcome Measurement</b> (Direct or Indirect)	<b>Key Assessment Name</b>	<b>Benchmark or Success Criterion</b>	<b>Administration is congruent with Curriculum Map</b> (yes/no)

A6.2.3. After selecting or designing key assessment instruments that align with your outcomes, it is useful to develop a key assessment instrument-to-outcome map ([Table A6.3](#)). In this map, you will specify which assessment instruments measure which outcome. Suppose a key instrument measures more than one SLO. In that case, identify which specific items map to each outcome. Additionally, include information about instrument quality and how each instrument/item will be scored in your key assessment instrument-to-outcome map.

**Table A6.3. Key Assessment Instrument-to-Outcome Map.**

<b>Outcome</b>	<b>Title of Assessment Instrument</b>	<b>Number of Items</b>	<b>Scoring</b>	<b>Reliability</b>	<b>Validity</b>	<b>Date Assessment Instrument will be re-evaluated</b>