

Defense Acquisition University



Faculty Plan



ACQUISITION,
TECHNOLOGY
AND LOGISTICS

THE UNDER SECRETARY OF DEFENSE

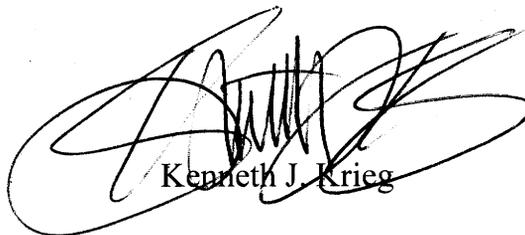
3010 DEFENSE PENTAGON
WASHINGTON, DC 20301-3010

OCT 30 2006

MEMORANDUM FOR PRESIDENT, DEFENSE ACQUISITION UNIVERSITY

SUBJECT: Defense Acquisition University Civilian Faculty Plan

The attached subject plan was developed under the authority of title 10, United States Code, section 1746. It is hereby approved and forwarded for implementation.



Kenneth J. Krieg

Attachment:
As stated



Defense Acquisition University (DAU)

CIVILIAN FACULTY PLAN

1. PURPOSE: The Civilian Faculty Plan is designed to provide the Defense Acquisition University with a preeminent faculty with the knowledge, experience, and competencies needed to train and support the Department of Defense (DoD) Acquisition, Technology and Logistics (AT&L) workforce and its leaders. It serves as a framework for the human capital management and shaping of the Excepted Service faculty, including competitive hiring, compensation, retention, and advancement.

2. AUTHORITY

A. Title 10, United States Code, chapter 87, section 1746, authorizes the Secretary of Defense to employ as many civilians as professors, instructors, and lecturers in the DAU as the Secretary considers necessary. The compensation of persons under this section shall be as prescribed by the Secretary.

B. DoD Instruction 5000.57, "Defense Acquisition University," promulgated under the authority of DoD Directive 5134.01 has responsibility for establishing civilian personnel policy, programs and rates of pay for civilian members to the Under Secretary of Defense (Acquisition, Technology, & Logistics) (USD (AT&L)) with advice and assistance provided by the Under Secretary of Defense (Personnel and Readiness) (USD (P&R)). This plan provides the policy framework for this purpose and assigns responsibility for its implementation.

3. RESPONSIBILITIES AND ADMINISTRATION

A. The Civilian Faculty Plan shall be under the authority, direction, and control of the USD (AT&L), who shall obtain the advice of the USD (P&R) pursuant to DoD Directive 5000.57, "Defense Acquisition University."

B. The President, DAU (hereafter referred to as the President), shall be responsible for approving minor (non substantive) changes to this plan. Substantive changes to this plan shall be submitted to the USD (AT&L) for approval.

C. The Commandant, DAU, or other senior leader as designated by the President (hereafter referred to only as the Commandant), is responsible for executing this plan. The Commandant shall develop operating guidance and procedures to implement this plan, consistent with the policies and delegations of authority established herein and by the President.

D. Except as otherwise provided in law or applicable governing regulations, all laws, rules, regulations, and procedures applicable to General Schedule and Excepted

Service positions in the Department of Defense are applicable to positions held by civilian faculty members of DAU covered by this plan. These include, for example, merit systems principles, prohibitions against prohibited personnel practices, standards of conduct and prohibitions against conflicts of interest, performance management and appraisal, retirement benefits (under the Civil Service Retirement System or Federal Employee Retirement System, as applicable), Health/Life Insurance benefits and provisions regarding annual and sick leave. Specific exclusions or exceptions are identified in this plan.

4. FACULTY STRUCTURE: Covered positions are established in the Excepted Service and are excluded from classification standards established pursuant to chapter 51 of title 5, United States Code, and from the Office of Personnel Management (OPM) implementation of those standards. Positions will reflect occupational series consistent with OPM occupational groups and series of classes, but shall be characterized as Administratively Determined (AD) positions. To reflect differentiated roles and responsibilities, three separate sections of faculty are established:

A. Faculty Career Section: Individuals offered appointments under the Faculty Career Section are responsible, primarily, for the delivery of learning assets to the DoD AT&L workforce. These individuals shall possess the appropriate educational degree, or equivalent experience, expert knowledge and experience in AT&L workforce acquisition positions, or equivalent industry experience and proven experience or exceptional potential for teaching, consulting, research, and subject matter contributions to the development and management of learning assets, including expert knowledge systems. The President may make exceptions on a case-by-case basis to meet the learning needs of the AT&L workforce. The Faculty Career Section is subdivided into three pay groups within a single pay band.

B. Learning Support Faculty Career Section: Individuals offered appointments under the Learning Support Faculty Career Section are responsible, primarily, for the design of learning assets and learning support systems, including classroom, distance learning, continuous learning, expert knowledge systems, and related performance metrics. These individuals shall possess the appropriate educational degree or equivalent experience and expert knowledge and experience in instructional design of learning assets or learning support systems and metrics. The President may make exceptions on a case-by-case basis to meet the learning needs of the AT&L workforce. The Learning Support Faculty Career Section is subdivided into three pay groups within a single pay band.

C. Executive Faculty Section: Individuals offered appointments in this section are responsible, primarily, for leadership of the Defense Acquisition University, including regions and directorates. These individuals shall possess an appropriate education degree, expert knowledge and experience in AT&L workforce acquisition positions, or equivalent industry experience and proven managerial and leadership

experience, or exceptional technical or acquisition acumen and experience. The President may make exceptions on a case-by-case basis to meet the leadership needs of the DAU. Executive Faculty Section compensation is a single band.

5. APPOINTMENT/REAPPOINTMENT/PERFORMANCE FACTORS

A. 10 U.S.C. § 1746 provides authority for the Secretary of Defense to employ as many civilians as professors, instructors, and lecturers in the DAU as the Secretary considers necessary. Provisions of title 5, United States Code, and title 5, Code of Federal Regulations (CFR), regarding employment in the Excepted Service apply to selections and appointments made under this plan, except as specifically stated herein. The Commandant is the final approval authority for selection and extension/reappointment of faculty in all three sections.

B. All appointments of civilian faculty members, not employed at DAU at the time this plan is approved, shall be made under the provisions of this plan, pursuant to 10 U.S.C. § 1746 with the appointing authority under title 5 CFR, 213.3106(h). The appointment types 'Excepted Appointment (Not to Exceed)' or 'Conversion to Excepted Appointment (Not to Exceed)' may be made for a term of up to four years for full-time covered by all normal benefits and entitlements. Part-time faculty, those with a work schedule of at least 16 hours per week but no more than 32 hours per week will accrue benefits on a pro rata basis as provided for in title 5, United States Code. Consistent with title 5, United States Code, intermittent faculty are those with a schedule that is based on surges in workload rather than a normal, predictable schedule but are not covered by other benefits, unless the employee has transitioned from a career appointment with a break in service that does not exceed three days and only for benefits held as a career status employee. The type and term of appointment will be based on the current and projected requirements of DAU.

C. Beginning with the first year of employment, the probationary period and coincident with the annual performance review, the appropriate dean or director will make a recommendation to the Commandant to extend a faculty member's appointment for those under the Faculty Career Section or the Learning Support Faculty Section. These extensions may be up to one year beyond the initial term period. Extension determinations must be finalized 90 days before the expiration of the employee's appointment. Based on the extension determination, one of the following actions must occur:

- 1) When the dean/director does not recommend an extension and the Commandant does not approve an extension, employment is ended on the not to exceed date of the appointment.

2) When an extension is recommended and the Commandant does not approve an extension, employment is ended on the not to exceed date of the appointment.

3) When an extension is recommended and the Commandant approves an extension, the employee is converted without a break in service, to a new excepted appointment not to exceed one year from the day following the expiration date of the employee's preceding appointment.

4) Decisions not to extend a faculty member must be documented in writing.

D. Beginning with the first year of employment and coincident with the annual performance review, the Commandant may recommend extension of appointments of individuals in the Executive Faculty Section to the President. These extensions may be up to one year beyond the initial term period. Extension determinations must be finalized 90 days before the expiration of the employee's appointment. Based on the extension determination, one of the following actions must occur:

1) When the Commandant does not recommend an extension and the President does not approve an extension, employment is ended on the not to exceed date of the appointment.

2) When an extension is recommended and the President does not approve an extension, employment is ended on the not to exceed date of the appointment.

3) When an extension is recommended and the President approves an extension, the employee is converted without a break in service, to a new excepted appointment not to exceed one year from the day following the expiration date of the employee's preceding appointment.

4) Decisions not to extend an individual in the Executive Faculty Section must be documented in writing.

E. Consistent with the authority of the Secretary of Defense to employ as many civilian professors, instructors and lecturers in the DAU as the Secretary considers necessary, recommendations and approval of extensions must consider the range of factors that are intended to continuously shape the capacity of the faculty and the ability of the university to accomplish its mission. In addition to the performance factors established in paragraph 5G, the following must be considered:

1) Current and projected mission requirements of DAU, such as the establishment or disestablishment of a career field or redefinition of the acquisition

workforce competencies and the capacity of the existing faculty to meet these changes in mission requirements.

2) Functional/technical competency and currency of the member of the faculty, including the attainment of evolving acquisition and faculty skills and competencies

3) Capacity of the member of the faculty to assume increased responsibility, including management responsibilities.

F. New appointments to Federal Service and individuals hired into the DAU faculty, irrespective of prior Federal Service, are required consistent with applicable law, to complete a one-year trial period. The trial period must be satisfactorily completed prior to consideration of an extension.

G. Performance factors, established by the President, for the three faculty sections.

1) Faculty Career Section

a. Teaching

b. Performance support (primarily consulting) must be consistent with applicable laws and DoD regulations

c. Learning asset management (curriculum development and knowledge sharing)

d. Leadership and resource management

2) Learning Support Faculty Career Section

a. Instructional and knowledge systems design/technical proficiency

b. Support and development of the Faculty Career Section

c. Communication

d. Leadership and resource management

3) Executive Faculty Section

a. Leadership/Supervision

- b. Mission Accomplishment
- c. Resource Management
- d. Communication
- e. Cooperation/Teamwork
- f. Customer Care
- g. Technical Competence/Problem Solving

6. REASSIGNMENT BETWEEN THE FACULTY CAREER SECTION AND LEARNING SUPPORT FACULTY CAREER SECTION: An employee appointed in the Faculty Career Section or the Learning Support Faculty Career Section may be reassigned to either group by management direction based on the needs of the DAU. The Commandant is the approval authority.

7. ASSIGNMENTS TO/FROM THE EXECUTIVE FACULTY SECTION: Appointments to this section will be accomplished primarily as competitive appointments or consistent with other merit based actions.

8. ADVANCEMENT FROM ONE PAY GROUP TO ANOTHER

A. Three groups (A, B and C), comprise a single salary band for the Faculty Career Section and the Learning Support Faculty Career Section. The three groups are designed to promote and align sustained professional growth and performance to advances in salary.

B. Advancement recommendations by the FCAP Concurrence Review Board (CRB) will be based on documentation of increased competencies and qualifications that are relevant to the respective performance factors listed in Section 5.G, endorsement of the respective dean or director, a history of performance, assessment of the individual's capacity for increased responsibility, the needs of the university and fiscal responsibility.

C. Faculty advancing beyond Group A requires a Masters Degree in an appropriate field. The faculty member's current salary must be no less than six percent below the bottom of the next band. These requirements may be waived based on the recommendation of the CRB and the authority of the President.

D. Authority for all advancements is the President.

9. SALARY/PERFORMANCE ADMINISTRATION

A. Faculty Pay Scales (2006 Base)

1) Faculty Career Section and Learning Support Faculty Career Section: The base pay band and groups are depicted in Attachment 1. Adjustments to the base pay shall be commensurate with rate range adjustments established for positions in the National Security Personnel System (NSPS) Standard Career Group Professional/Analytical pay schedule and approved by the President, DAU. Locality-based comparability adjustments will be added to the base pay scale in line with Local Market Supplements established under NSPS. When locality based compensation payments are added, the maximum adjusted pay may not exceed the rate for Level IV of the Executive Schedule by more than five percent.

2) Executive Faculty Section: The base pay band is depicted in Attachment 2. Adjustments to the base band shall be commensurate with the percent increase rate range adjustments to base pay established for positions under the National Security Personnel System (NSPS) Standard Career Group, Supervisor/Manager pay schedule and approved by the President, DAU. Locality-based comparability adjustments will be added to the base pay scale in line with NSPS Local Market Supplements. When locality based compensation payments are added, the adjusted pay may not exceed the rate for Level IV of the Executive Schedule by more than five percent.

B. Entrance level pay will be commensurate with the applicant's qualifications and the needs of the university. The Commandant is the approval authority for the entrance level pay of individuals hired into the Faculty Career Section or the Learning Support Faculty Career Section. The President is the approval authority for entrance level pay of individuals appointed into the Executive Faculty Section.

1) Basic requirements for the Group A in the Faculty Career Section and Learning Support Faculty Career Section include a minimum of a Bachelor level degree and four years experience in the appropriate functional area.

2) Basic requirements for Group B in the Faculty Career Section and Learning Support Faculty Career Section include a Masters Degree in an appropriate discipline and a minimum of six years experience in the appropriate functional area.

3) Basic requirements for Group C in the Faculty Career Section and Learning Support Faculty Career Section include a minimum of a Masters Degree in an appropriate discipline and a minimum of eight years experience in the appropriate functional area.

C. Pay upon advancement from one group to another (Faculty Career Section and Learning Support Faculty Career Section): An increase in pay upon advancement, consistent with merit systems principles, the needs of the university and fiscal

responsibility, may be approved. At a minimum, the faculty member will be paid at the lowest level of the pay of the respective group.

D. Annual Performance Evaluation (Career Faculty Section and Learning Support Faculty Career Section): Evaluation of a faculty member's performance is governed by chapter 43 of title 5, United States Code and OPM and DoD implementing regulations. The deans and directors, comprising the Concurrence Review Board, shall assess faculty performance under an evaluation system defined and managed by the Commandant, consistent with this Plan and including the performance factors in paragraph 5.G and recommend adjustments in salary and/or cash awards.

(1) A faculty member's performance will be evaluated against criteria established in the DAU Faculty Contribution Assessment Process (FCAP) which shall be consistent with the performance factors in Section 5.G, which encompass the competencies required for the university to dynamically train and support the AT&L workforce.

(2) The Commandant shall establish the procedures for the review and approval of adjustments to pay and cash awards consistent with merit system principles.

(3) Remediation and termination are governed by title 5, United States Code. The performance of faculty members shall be subject to continuous review. In those cases when performance falls below an acceptable level as set out in the evaluation system, the faculty member shall be advised of the deficiencies and counseled. If performance problems continue, a performance improvement plan shall be developed by the respective faculty member and supervisor. When faculty members do not meet performance requirements, action, possibly including reduction in pay, assignment to a lower pay group, and/or termination, will be taken through adverse action procedures, under the provisions of either chapter 43 or chapter 75, title 5, United States Code.

E. Annual Performance Evaluation (Executive Faculty): Evaluation of performance is governed by chapter 43 of title 5, United States Code, OPM and DoD implementing regulations and this Plan. The Commandant shall review and assess individual performance based on this Plan, including the performance factors in paragraph 5.G, and recommend adjustments in salary and/or cash awards to the President for approval.

F. Assignment To Significant Managerial Or Administrative Duties (Faculty Career Section and Learning Support Faculty Career Section): When a faculty member is assigned to a significant managerial or administrative position, the Commandant may approve an increase in salary, commensurate with the duties of the position.

G. Part-time and intermittent faculty: The pay of individuals employed as part-time or intermittent faculty will be at a pro-rata rate consistent with the pay of full-time faculty with equivalent knowledge, experience, competencies and duties.

10. EXISTING DAU AD FACULTY

A. Faculty appointed under a previous DAU Civilian Faculty Plan will be converted to this plan with no change in salary or term of appointment.

B. Each faculty member will be assigned to either the Faculty Career Section or the Learning Support Faculty Career Section based on the recommendation of his/her dean or director and approved by the Commandant

C. Assignment to the Executive Faculty Section will be based on the recommendation of the Commandant and approved by the President, based on merit.

D. Faculty assigned to either the Faculty Career Section of the Learning Support Faculty Career Section who are paid above the maximum salary of the band at the point of transition to this plan will retain their current salary and receive adjustments to their pay commensurate with rate range adjustments for positions in the National Security Personnel System (NSPS) Standard Career Group Professional/ Analytical pay schedule and approved by the President, DAU. Locality-based comparability adjustments will be added to the base pay scale in accordance with Local Market Supplements in line with those established under NSPS. When locality based compensation payments are added, the maximum adjusted pay may not exceed the rate for Level IV of the Executive Schedule by more than five percent.

11. EXISTING DAU FACULTY – Non-AD

(This includes only those faculty transferred into DAU in 2000 and did not elect to convert to the DAU AD Faculty Plan)

A. The Commandant may announce periodic opportunities for DAU Non-AD Faculty to convert to this plan.

B. For conversion from competitive service positions or other positions established pursuant to title 5, United States Code, to positions under this plan, the dean or director may recommend assignment to the Faculty Career Section or Learning Support Faculty Career Section and a level of pay based on the employee's knowledge, experience, competencies and responsibilities, but not less than the employee's current salary. The Commandant is the approval authority for conversion offers.

C. Offers made to a faculty member for conversion will be made in writing.

D. Within 30 days of delivery of the written conversion offer, the faculty member may choose to convert to this plan or to remain under the existing pay plan under title 5, United States Code, or appeal the offered faculty level and pay to the President. The President is the final decision authority.

E. Upon acceptance of an appointment under this plan, the faculty member may not revert to the previous terms of employment.

F. The terms of employment of faculty members who do not choose to convert are unchanged.

12. EFFECTIVE DATE: This plan is effective on the date signed and shall remain in effect until terminated, amended or superseded by the USD (AT&L).

Appendix 1 and 2 will be pay band tables

Faculty Pay Band Base

Faculty & Learning Support Faculty Sections

		\$97,750 - \$124,905	C
	\$80,000 - \$104,000		B
\$58,000 - \$85,572			A

Cap is EX IV + 5% With
Locality may not exceed
current rate of \$150,150

Attachment 1

Executive and Other

\$95,000 - \$130,852