March 17, 2015, 8:00 a.m.

MEMORANDUM FOR DEFENSE ACQUISITION UNIVERSITY DEANS, DIRECTORS AND CIVILIAN FACULTY

SUBJECT: FY15 Civilian Faculty Plan Update

As a result of FY15 pay tables and administrative requirements, Mr. James P. Woolsey, President, Defense Acquisition University, has approved the revisions of the attached Civilian Faculty Plan.

[Signature]

Joseph E. Johnson
Chief of Staff

Attachment:
As stated
Defense Acquisition University Civilian Faculty Plan

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

2. AUTHORITY
   A. Title 10, United States Code (U.S.C.), Chapter 87, Section 1746, authorizes the Secretary of Defense to employ as many civilians as professors, instructors, and lecturers in the DAU as considered necessary. The compensation of persons under this section shall be as prescribed by the Secretary.

   B. In accordance with DoD Instruction 5000.57 promulgated under the authority of DoD Directive 5134.01, the Under Secretary of Defense (Personnel and Readiness) (USD (P&R)) advises and assists the Under Secretary of Defense (Acquisition, Technology, & Logistics) (USD (AT&L)) in establishing civilian personnel policy, programs, and rates of pay pertaining to section 1746(b) of Title 10, U.S.C., Chapter 87 regarding employment and compensation of civilian faculty members. 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 Chief of Staff, DAU, or other senior leader as designated by the President (hereafter referred to as the Chief of Staff), is responsible for executing this plan. The Chief of Staff 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 DoD 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, U.S.C., 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 defense acquisition workforce. These individuals shall possess the appropriate educational degree, or equivalent experience, expert knowledge and experience in 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 defense acquisition workforce. The Faculty Career Section is subdivided into three pay groups within a single pay band.

B. Learning Support Faculty (LSF) Career Section: Individuals offered appointments under the LSF Career Section are responsible, primarily, for the design and sustainment 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 defense acquisition workforce. The LSF 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 DAU, including regions and directorates. These individuals shall possess an appropriate education degree and expert knowledge and experience in defense acquisition workforce 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 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, U.S.C., 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 Chief of Staff 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, U.S.C.. Consistent with Title 5, U.S.C., 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 Chief of Staff to extend a faculty member’s appointment for those under the Faculty or LSF Career Sections. 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 Chief of Staff 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 Chief of Staff 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 Chief of Staff 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 Chief of Staff 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 Chief of Staff 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 5.G, 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. Subject to the provisions of 5 C.F.R. § 315.802, individuals hired into the DAU faculty are required to complete a one-year trial period. The trial period must be satisfactorily completed prior to consideration of an extension. DAU, in its sole discretion, may terminate a faculty member at any time during the one-year trial period. The trial period ends at the conclusion of the faculty member’s duty day on the day before the anniversary date of the faculty member’s appointment. Refer to the Faculty Performance Evaluation System manual for more details.

G. Performance Factors.

1) Faculty Career Section:
   - Teaching
   - Mission Assistance
   - Learning Asset Management (Curriculum Development)
- Learning Asset Management (Knowledge Sharing)
- Leadership and Resource Management

2) Learning Support Faculty (LSF) Career Section:
- Technical Proficiency (Instructional and Knowledge System Design)
- Support and Development of Faculty Career Section
- Communication
- Leadership and Resource Management

3) Executive Faculty Section:
- Leadership/Supervision
- Mission Accomplishment
- Resource Management
- Communication
- Cooperation/Teamwork
- Customer Care
- Technical Competence/Problem Solving

6. REASSIGNMENT BETWEEN THE FACULTY AND LSF SECTIONS
An employee appointed in the Faculty or LSF Career Sections may be reassigned to either group by management direction based on the needs of the DAU. The Chief of Staff 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 and LSF Career Sections. 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 Master’s 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

1) Faculty Career and LSF Career Sections: The base pay band and groups are depicted in Attachment 1. Adjustments to the base pay shall be commensurate with the General Pay Increases and Locality Adjustments published by the OPM for the General Schedule with final approval by the President, DAU. When locality adjustments 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 4. Adjustments to the base band shall be commensurate with the General Pay Increases and Locality Adjustments published by the OPM for the General Schedule with final approval by the President, DAU. When locality adjustments are added, the maximum 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 Chief of Staff is the approval authority for the entrance level pay of individuals hired into the Faculty or LSF Career Sections. The President is the approval authority for entrance level pay of individuals appointed into the Executive Faculty Section.

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

2) Basic requirements for Group B Faculty Career and LSF Career Sections include a minimum of a Master level degree in an appropriate discipline and a minimum of six years of experience in the appropriate functional area.

3) Basic requirements for Group C Faculty Career and LSF Career Sections include a minimum of a Master level degree in an appropriate discipline and a minimum of eight years of experience in the appropriate functional area.

C. Pay upon advancement from one group to another (Faculty and LSF): 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 (Faculty and LSF): Evaluation of a faculty member's performance is governed by Chapter 43 of Title 5, U.S.C., and OPM and DoD implementing regulations. The CRB shall assess faculty performance under an evaluation system defined and managed by the Chief of Staff, 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 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 defense acquisition workforce.

2) The Chief of Staff 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, U.S.C. 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.

4) 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, U.S.C.

E. Annual Performance Evaluation (Executive Faculty): Evaluation of performance is governed by Chapter 43 of Title 5, U.S.C., OPM and DoD implementing regulations and this Plan. The Chief of Staff 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. The President shall assess the performance and approve salary adjustments and/or cash awards for the Chief of Staff.

F. Assignment to significant managerial or administrative duties (Faculty and LSF): When a faculty member is assigned to a significant managerial or administrative position, the Chief of Staff 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 ADMINISTRATIVELY DETERMINED: (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 or LSF Career Section based on the recommendation of his/her dean or director and approved by the Chief of Staff.

C. Assignment to the Executive Faculty Section will be based on merit and the recommendation of the Chief of Staff and approved by the President.
D. Faculty assigned to either the Faculty or LSF career sections 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 Excepted Service pay schedule and approved by the President, DAU. Locality-based comparability adjustments will be added to the base pay scale in accordance with those established by the OPM for the General Schedule, as Excepted Service positions within this authority. 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 FACULTY (This includes only those faculty transferred into DAU in 2000 who did not convert to the DAU AD Faculty Plan).

A. The Chief of Staff 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, U.S.C., to positions under this plan, the dean or director may recommend assignment to either the Faculty Career or LSF Career Sections at a level of pay based on the employee’s knowledge, experience, competencies and responsibilities, but not less than the employee’s current salary. The Chief of Staff 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, U.S.C., 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).
## FY15 Faculty Pay Groups

**Base Pay – Cap = $166,635**

<table>
<thead>
<tr>
<th>Pay Bands</th>
<th>Faculty Career Section (1)</th>
<th>Learning Support Faculty Career Section (2)</th>
<th>Executive Faculty Section (3)</th>
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<tbody>
<tr>
<td>A (11)</td>
<td>$64,437 - $95,039</td>
<td>A (21)</td>
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