



ACQUISITION  
AND SUSTAINMENT

THE UNDER SECRETARY OF DEFENSE  
3010 DEFENSE PENTAGON  
WASHINGTON, DC 20301-3010

10 JAN 2021

MEMORANDUM FOR PRESIDENT, DEFENSE ACQUISITION UNIVERSITY

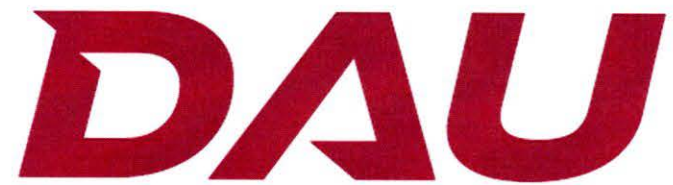
SUBJECT: Defense Acquisition University Civilian Faculty Plan

The attached Civilian Faculty Plan was developed and updated under the authority of Title 10 of the United States Code, section 1746. It is hereby approved and forwarded for implementation.

A handwritten signature in black ink, reading "Ellen M. Lord", is positioned above the printed name.

Ellen M. Lord

Attachment:  
As stated



**Defense Acquisition  
University**

**Civilian Faculty Plan**

**December 2020**

## **1. PURPOSE**

The Civilian Faculty Plan is designed to provide the Defense Acquisition University (DAU) with expert faculty that possess 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 DAU human capital strategy and the shaping of the Excepted Service faculty. This includes appointment authorities, position classification, faculty qualifications, compensation, merit promotion (advancement), performance factors and retention.

## **2. AUTHORITY**

Title 10 of the United States Code (U.S.C.), 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. This plan provides the framework for this purpose and assigns responsibility for its implementation.

## **3. RESPONSIBILITIES AND ADMINISTRATION**

- 3.1. The Civilian Faculty Plan was established under the authority and direction of the USD (A&S), advised by the USD (P&R) pursuant to DoD Directive 5135.02, "Under Secretary of Defense for Acquisition and Sustainment (USD (A&S))", and DoD Instruction 5000.57, "Defense Acquisition University (DAU)".
- 3.2. The President, DAU (hereafter referred to as the President), is responsible for approving minor (non-substantive) changes to this plan. Substantive changes to this plan must be approved by USD (A&S).
- 3.3. The Chief of Staff, DAU (hereafter referred to as the Chief of Staff), or other senior leader as designated by the President, is responsible for oversight and implementation of this plan. The Director of Human Resources, DAU, shall develop operating guidance and procedures to implement this plan, consistent with the policies and delegations of authority established herein and by the President.
- 3.4. 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. CLASSIFICATION OF FACULTY POSITIONS**

Covered positions are established in the Excepted Service under Title 10, U.S.C., section 1746 and Title 5, Code of Federal Regulations (C.F.R.) Schedule A, section 213.3106(h). These positions 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. Classification of positions will be documented in a Position Description document.

#### **5. CIVILIAN FACULTY POSITIONS**

5.1. Civilian members of the faculty who are appointed under this plan will occupy positions with primary functions including one or more of the following criteria:

- 5.1.1. Teaching, instructing, lecturing or facilitating learning whether delivered virtually, in-residence, and in synchronous or asynchronous format. Designing, preparing, administering and grading student exams and work assignments, and providing additional instruction as necessary.
- 5.1.2. Designing or developing curricula and materials, defining learning objectives and outcomes, capstone activities, and/or tools to assist the acquisition workforce with learning and achieving performance objectives.
- 5.1.3. Designing or developing learning support systems to include programs and resources for internal or external performance learners, support systems for education program management, support of educators' performance or systemic data analysis and knowledge management.
- 5.1.4. Providing expert advice or consultation to DAU students or customer organizations and other DoD activities based on disciplinary expertise including acquisition functions, academic and learning sciences or data analysis for the purpose of supporting acquisition workforce performance.
- 5.1.5. Managing and governing of the university enterprise: Serving as executive or leadership of the entire DAU enterprise, serving as the leader of a major function/division of the DAU enterprise, or serving as an Associate Dean or Associate Director.

#### **6. CIVILIAN FACULTY GRADE STRUCTURE**

6.1. The DAU civilian faculty structure is divided into pay bands (A, B, C and E). For grade-level equivalency purposes.

- 6.1.1. Band A (AD-11) scope of responsibilities and duties is equivalent in grade to GS-9 through GS-13, depending on qualification level and salary, in the General Schedule Personnel System.

6.1.2. Band B (AD-12) scope of responsibilities and duties is equivalent to the grade of GS-14 in the General Schedule Personnel System.

6.1.3. Band C (AD-13) scope of responsibilities and duties is equivalent to the grade of GS-15 in the General Schedule Personnel System.

6.1.4. Band E (AD-30) scope of responsibilities and duties is equivalent to the OPM defined Senior-Level positions and classified above the GS-15 level.

## **7. APPOINTMENTS INTO CIVILIAN FACULTY POSITIONS**

7.1. Appointments under the DAU Faculty Plan are Term Appointments in the Excepted Service. The purpose of term appointments for faculty members is to encourage rotation and to continually infuse practitioner and industry currency into the DAU faculty and curriculum.

7.2. A new full-time faculty appointee, regardless of grade/band, will normally be given a term appointment that aligns with term limits designated by OPM. The initial term will generally be a three-year time-limited appointment, with the first two-year period being a probationary period. After the second year of the initial term, the appointee will be considered for an additional year appointment beyond the term not-to-exceed date, and notified of the decision by the chain of command. This process will be repeated annually.

7.2.1. Appointments/conversions to a part-time schedule will be considered on a case-by-case basis, subject to the mission requirements of the university and approval of the Chief of Staff. Part-time faculty may be approved based on the needs of the University, with a work schedule of at least 16 hours per week but no more than 32 hours per week. Part-time employees will accrue benefits on a pro rata basis as provided for in Title 5, U.S.C.

7.3. A new intermittent work schedule employee will be appointed to a term of twelve months, with additional one-year appointments considered 60-90 days prior to the end of the term.

7.3.1. Intermittent work schedule 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 without a break in service of three days or more, 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.

7.4. If any appointment is not extended, then it will be understood to terminate upon completion of the stipulated term.

7.5. The Chief of Staff, with authority delegated to the Director of Human Resources, is the final approval authority for selection of faculty members, with the exception of the Vice President and Chief of Staff positions. The President serves as the final approval

authority for those positions.

7.6. Consistent with the authority of the Secretary of Defense 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 acquisition workforce training mission. The following must be considered:

7.6.1. Current and projected mission requirements of DAU, such as the establishment or disestablishment of a career field or redefinition of the workforce area competencies and the capacity of the existing faculty to meet these changes in mission requirements.

7.6.2. Functional/technical competency and currency of the member of the faculty, including the attainment of evolving acquisition, and digital learning skills and competencies.

7.6.3. Capacity of the member of the faculty to grow and assume increased responsibility.

## **8. RECRUITMENT OF FACULTY**

8.1. Excepted service civilian faculty may be recruited through non-traditional methods, via traditional federal recruitment and selection procedures, or through applicable direct hire authorities afforded the federal sector or Department of Defense, or directly with 10 U.S.C. § 1746 and 5 C.F.R. Schedule A, § 213.3106(h).

8.2. Excepted service faculty positions are not subject to Delegated Examining Unit procedures. Non-traditional rating and ranking of applicants will be conducted. Candidates who claim Veteran's Preference and candidates having no-preference eligibility will be provided as a single unscored list to the requesting official, with preference eligibility annotated, but no additional points applied. Selecting officials will first determine which group of candidates best meet mission requirements, and then preference eligibility will be treated as a positive factor before the final selection.

## **9. PROBATIONARY PERIOD**

Subject to the provisions of 5 C.F.R. § 315.802 and authorities specific to the Department of Defense, individuals hired into the DAU faculty are required to complete a two-year probationary period. The probationary 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 probationary period. The probationary 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.

## **10. FACULTY EDUCATION REQUIREMENTS**

- 10.1. Entrance level pay-band decisions will be commensurate first, with the needs and budget constraints of the university and second, the applicant's qualifications. The Chief of Staff, with authority delegated to the Director of Human Resources, is the approval authority for the entrance level pay of individuals hired under the faculty plan in Bands A - C. The President is the approval authority for entrance level pay of individuals appointed into the Faculty Leadership Section under Band E.
- 10.2. All selectees must meet the OPM positive education requirements for series, which may not be waived, and then:
  - 10.2.1. Basic requirements for Band A include a minimum of a Bachelor level degree and up to four years of experience in the appropriate functional area. Alternatively, technical certifications and/or experience may be approved by the President to meet the needs of the University (delegated to the Chief of Staff).
  - 10.2.2. Basic requirements for Band B include a minimum of a Bachelor level degree in an appropriate discipline and a minimum of six years of experience in the appropriate functional area. Advanced degrees are highly desired in Band B. Alternatively, technical certifications and/or experience may be approved by the President to meet the needs of the University (delegated to the Chief of Staff).
  - 10.2.3. Basic requirements for Band C include a minimum of a Bachelor level degree in an appropriate discipline and a minimum of eight years of experience in the appropriate functional area. Advanced degrees are highly desired in Band C. Alternatively, technical certifications and/or experience may be approved by the President to meet the needs of the University (delegated to the Chief of Staff).
  - 10.2.4. Basic requirements for Band E include a minimum of a Bachelor level degree in an appropriate discipline and a minimum of eight years of experience in the appropriate functional area. Advanced degrees are highly desired in Band E. Alternatively, technical certifications and/or experience may be approved by the President to meet the needs of the University (delegated to the Chief of Staff).

## **11. FACULTY COMPETENCIES**

- 11.1. Faculty members in Bands A through C will be selected and evaluated against three categories of competencies:
  - 11.1.1. The technical competencies inherent to their role at DAU as described in Section 5 (Civilian Faculty Positions) of this document,
  - 11.1.2. The technical competencies required of their occupational series.

11.1.3. The core competencies required of acquisition workforce members.

**Job Achievement and Innovation:** Produces desired results, in the needed timeframe, with the appropriate level of supervision through the use of appropriate knowledge, skills, abilities and understanding of the technical requirements of the job. Achieves, demonstrates and maintains the appropriate qualifications necessary to assume and execute key acquisition and/or support requirements. Demonstrates critical thinking skills in identifying, analyzing and solving complex issues, as appropriate. Takes and displays personal accountability in leading, overseeing, guiding, and/or managing programs and projects within assigned areas of responsibility. This factor is measured by leadership role, accountability, complexity/difficulty, creativity, scope/impact and mentoring employee development.

**Teamwork and Communication:** Effectively communicates, verbally and in writing, as needed to coordinate work and keep chain-of-command, coworkers and customers informed of work-related issues, developments and statuses. Actively seeks and promotes diverse ideas and inputs. Works well with and in groups, and with others to accomplish mission requirements. This factor is measured by oral/written communications, contributions to team and effectiveness.

**Mission Support:** Possesses an operational understanding of organizational goals and priorities and fully complies with administrative policies, regulations and procedures when performing job operations. Works with customers to develop a mutual understanding of their requirements. Probes for detail, as appropriate, and pays attention to crucial details of needs or requests. Monitors and influences cost parameters of work, tasks and projects, ensuring an optimum balance between cost and value. Establishes priorities that reflect mission and organizational needs. This factor is measured by level of independence, meeting customer needs, planning/budgeting and execution/efficiency.

- 11.2. Executive/Senior-Level (Band E) Competencies encompass the categories listed above, along with demonstrated competency in the executive equivalent qualifications of Leading Change, Leading People, Results Driven, Business Acumen and Enterprise Perspective/Building Coalitions.

## **12. ADVANCEMENT (PROMOTION) IN FACULTY PAY BANDS A THROUGH C:**

There are three pay bands (A, B and C) for the general faculty. Band C is the highest consideration in the faculty advancement process. A competitive rank-in-person promotion board will be held annually to make advancement recommendations from the DAU leadership panel, comprised of all Deans and Directors. Recommendations for promotion will be based on personal qualifications, and documentation of increased capability and contributions that are relevant to the requirements of the next higher band. Annual promotion decisions are subject to the needs of the university for work at higher levels, and fiscal responsibility with the civilian pay budget. Authority for all promotions is the



President.

### **13. ASSIGNMENTS TO/FROM THE FACULTY LEADERSHIP SECTION (BAND E):**

Appointments to this section may be accomplished as competitive appointments or merit promotions, by use of direct hire authority for external candidates, or Management Directed Reassignment within the existing E-band group. These actions will be consistent with Department of Defense hiring authorities and other merit based actions. Reassignment actions within the Faculty Leadership Section may be made based on the needs of the university. The President is the approval authority.

### **14. ASSIGNMENTS OUT OF THE FACULTY LEADERSHIP SECTION OR SUPERVISORY POSITIONS:**

Voluntary reassignment out of an E-Band position, or other supervisory or management position, may entail a change to lower band or lower pay within the same band. If reduced in band, the commensurate pay may not exceed the next lower band level. The President is the approval authority.

### **15. PAY ADMINISTRATION**

15.1. Faculty Salary Schedule. The salary for the civilian members of the faculty is determined by the Secretary of Defense as authorized by 10 U.S.C. § 1746. Annual Adjustments to the salary rates shall be commensurate with the General Pay Increases and Locality Adjustments published by OPM.

15.1.1. The pay band range for Bands A through C will not exceed the annual rate of pay for Level IV of the Executive Schedule.

15.1.2. The pay band range for Band E will not exceed the annual rate of pay for Level III of the Executive Schedule.

15.1.3. Intermittent Faculty: The pay of individuals employed as intermittent faculty will be at an hourly rate consistent with the pay of full-time faculty with equivalent knowledge, experience, competencies and duties.

15.1.4. Compensation outside of basic pay may be provided in the form of Supervisory Cash Differentials or Recruitment, Relocation or Retention Incentives as prescribed by OPM. These are discretionary benefits outside of basic salary levels. The need for these differentials or incentives will be commensurate with local market indicators, subject to fiscal budget constraints. Any differential or incentive is considered a benefit, not an entitlement, and the need for continuation will be revalidated annually commensurate with performance reviews.

15.1.5. Reassignment to a position with significant increase in managerial or administrative duties during the performance year: when a faculty member is laterally reassigned to a significant managerial or special assistant position in

a timeframe that does not coincide with annual appraisal cycle, the Chief of Staff may approve an increase in salary, commensurate with the duties of the position.

## **16. ANNUAL PERFORMANCE EVALUATION**

- 16.1. 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 DAU leadership panel shall assess faculty performance under an evaluation system approved by the Chief of Staff, and consistent with the principles in this plan.
- 16.2. A faculty member's performance will be evaluated against the competencies as outlined in this document, which are required for the university to dynamically train and support the defense acquisition workforce.
- 16.3. 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.
- 16.4. Remediation and termination are governed by Chapter 43 and/or Chapter 75 of Title 5, U.S.C. The performance of faculty members shall be subject to continuous review. In those cases when performance of a non-probationary faculty member falls below an acceptable level, action will be taken under the provisions of Chapter 43 or Chapter 75, Title 5, U.S.C.

## **17. TRANSITION OF CURRENT DAU ADMINISTRATIVELY DETERMINED (AD) FACULTY**

Faculty who were at Band C under the previous DAU Civilian Faculty Plan, with salaries above Level IV of the Executive Schedule, will be converted to this plan with no change in current salary level. They will be grandfathered into this plan under the salary terms of the previous plan, and subject to performance management business rules for increases. The maximum adjusted pay may not exceed the rate of pay for Level IV of the Executive Schedule by more than five percent.

## **18. EFFECTIVE DATE**

This plan is effective on the date signed and shall remain in effect until terminated, amended or superseded by the USD(A&S).