Department of Defense
Defense Acquisition University

DAU Directive 704
HQ (LCIC)

October 25, 2013

STUDENT ACADEMIC AND ADMINISTRATIVE POLICIES AND PROCEDURES

1. REFERENCES: This document supersedes all previous versions.

2. PURPOSE: To state and outline the student academic and administrative policies and procedures governing students participating in DAU courses.

3. DISCUSSION:

a. Students at DAU are expected to meet the highest standards of personal, ethical, and moral conduct. These standards require personal integrity and honesty. The discovery, advancement, and communication of knowledge is achieved only with a commitment to these standards. The policies cited in this directive are intended to establish a minimum standard of conduct conducive to attainment of excellence in training and education.

b. In addition to the policies outlined in this directive, the President, DAU has issued the below policy letters applicable to DAU students, faculty, and staff. These policies are available to DAU faculty and staff on DAUNet and to students on the DAU Web site at: http://www.dau.mil/studentInfo/Pages/student_info.aspx

- Equal Employment Opportunities
- Sexual Harassment
- Open Door Policy
- Non-Attribution

c. DAU encourages students who experience a problem with the learning environment to discuss it with their instructor. Students who feel their issue is not resolved satisfactorily may consult the department chair/site manager or campus Associate Dean for Academics and/or Dean. Attachment 13, *Student Inquiries, Complaint/Grievance Procedures* of this directive provides procedures for formally addressing student complaints or grievances.

4. POLICIES AND PROCEDURES:

a. Student academic and administrative policies and procedures are outlined in individual attachments to this directive by topic. The topics are listed in the table below:

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b. While engaged in instruction at DAU, the student remains under the administrative and operational control of the student's parent organization.

5. APPLICABILITY: DAU is divided into a headquarters element and 7 branch campuses: 5 regional campuses serving specific geographic regions of the continental United States and select locations overseas as well as 2 colleges serving Defense Acquisition Workforce members worldwide. Each branch campus is headed by a Dean.

a. This directive is applicable to all DAU students, faculty, and staff regardless of location.

b. The current DAU branch campuses are:

Regional Campuses:

DAU Capital and Northeast located at Fort Belvoir, VA
DAU Mid-Atlantic located in California, MD
DAU South located in Huntsville, AL
DAU Midwest located in Kettering, OH
DAU West located in San Diego, CA

Colleges:

Defense Systems Management College located at Fort Belvoir, VA
College of Contract Management located at Fort Lee, VA

6. <u>RESPONSIBILITIES</u>: Specific responsibilities are outlined in the respective attachments as appropriate. General responsibilities associated with this directive are outlined below.

a. Director, Learning Capabilities Integration Center (LCIC):

(1) Maintain staff cognizance of this directive by providing interpretive guidance as required and publishing changes to the attachments as necessary to clarify content and policy.

Changes in policy and procedures outlined in the attachments may be published after appropriate staff coordination with the affected Deans and Directors.

(2) Establish a point of contact within LCIC to coordinate modifications as required and to ensure policies and procedures outlined in the attachments are consistent with information published to potential students via the DAU Web site at: www.DAU.mil.

b. Deans and Directors: ensure widest dissemination and compliance of this directive to your assigned faculty and staff.

joseph.johnson@dau.mil Digitally signed by joseph.johnson@dau.mil
DN: cn=joseph.johnson@dau.mil
Date: 2013.10.25 09:51:54 -04'00'

Joseph E. Johnson
Chief of Staff

Attachments:
As stated

Student Standards of Conduct

1. Arrival and Departure

a. Arrival. *Students must arrive on time or risk losing their reservation to a walk-in student*. Accordingly, students are encouraged to plan ahead and take into consideration factors such as traffic, security checks, and parking as may be required depending on the location of the course. **Specific information such as course dates, hours, class location, and report time are provided in the welcome letter or e-mail sent to each student before a class begins.**

b. Departure. Traveling students must make their departure arrangements to ensure attendance through the scheduled class graduation.

2. Attendance/Absenteeism

a. Full-time attendance (start through graduation) is required of all students. DAU recognizes full-time attendance may not always be possible. Accordingly the following guidance is provided:

(1) Absences. Whenever possible, the student shall request and obtain permission from the lead instructor in advance of the absence. Absences may be approved due to student illness or urgent family matters. The following ARE NOT considered valid excuses:

- Work-related requirements
- Travel arrangements that require departure before course graduation
- Other appointments (commitments) of a personal or business nature

(2) Excused absences are not to exceed five (5) percent of instructional time. Excused absences that exceed five (5) percent of instructional time may require that student self-withdraw from the class and take it at a future time when personal/work commitments do not interfere with class attendance. Special circumstances that result in excused absences slightly beyond five (5) percent can be reviewed by the campus Associate Dean for Academics to determine if the student can remain in the class. Unexcused absences that exceed five (5) percent of instructional time may be grounds for dropping a student for excessive absenteeism and the imposition of an attrition code of "K" for Disciplinary/Misconduct regardless of student performance as noted in Attachment 8, *Student Attrition Codes.*

b. An absence DOES NOT relieve the student of completing ALL course requirements. Absences will adversely impact a student's successful completion of learning events in courses where participation is integrated into the requirement. For excused absences, the student will coordinate with the lead instructor on how make-up assignments will be handled. Some courses have required activities that, if missed, lead to disenrollment. For these courses, the instructor accordingly will advise students in advance. Students will not be provided an opportunity to make up missed work for unexcused absence.

c. When an absence is excused, civilian students are responsible for reporting leave taken during a course offering to their employing organization. Military students shall document their leave with the appropriate military personnel office.

d. When a weather-related absence affects significant segments of the course, the instructor, in coordination with the campus Associate Dean for Academics, and/or other appropriate DAU branch staff, will determine the appropriate course of action which can range from make-up work to rescheduling the offering.

3. In-class Behavior. Students are expected to behave in a professional manner at all times. This includes, but is not limited to:

a. Being attentive and *participating in **all** class activities*. (Instructors will be sympathetic and supportive of students who use moderate methods to maintain alertness or relieve physical discomfort, such as non-alcoholic drinks, snacks, or standing at the rear of the room.)

b. Abiding by professional standards and courtesy when interacting with faculty, guests, and other students.

c. Arriving on time, returning promptly from breaks, and staying until the class day ends.

d. Being respectful of the facilities and leaving student areas in the same condition found upon arrival.

e. Ensuring cell phones and other communicative or electronic devices not used in support of the instruction or for note-taking are either turned off, set to silent, or set to vibrate only. During examinations, these devices must be turned off unless used as part of the examination process. The instructor will provide the "do's" and "don'ts" regarding electronic device use during examinations.

4. Student Attire. Unless otherwise noted in the welcome letter or e-mail, civilian and military students are authorized to wear business casual attire: dress slacks, collared shirts, and dress shoes/loafers for men and equivalent attire for women. Shorts, flip-flops, strapless, excessively short or sheer garments, exposed midriff, jeans, and athletic wear of any kind are examples of inappropriate attire. The Associate Dean for Academics may specify exceptions to the above in support of a specific class event. Appropriate cleanliness and grooming is expected of all students. Additionally, students should be cognizant that heavy use of colognes and perfumes can be a distraction in class and cause allergic reactions in other students. In the case of DAU courses conducted at customer sites, alternative attire consistent with local command or organization standards may prevail.

5. Academic Integrity. Absolute integrity is expected of every DAU student in all academic undertakings. Integrity entails a firm adherence to a set of values, and the values most essential to an academic community are grounded on the concept of honesty with respect to the intellectual efforts of oneself and others. Academic integrity is expected not only in formal coursework situations, but in all university relationships and interactions connected to the educational process, including the use of university resources.

Student Standards of Conduct

a. A DAU student's submission of work for academic credit indicates that the work is the student's own. All outside assistance and citations should be acknowledged and the student's academic position truthfully reported at all times. In addition, DAU students have a right to expect academic integrity from each of their peers. Students shall not:

- Misrepresent their work;
- Fraudulently or unfairly advance their academic position;
- Be party to another student's failure to maintain academic integrity; or
- Violate the principle of academic integrity in any other manner.

b. The following actions are examples of activities that violate the Student Academic Policy and subject their participants to actions under this policy (not a comprehensive list):

- Knowingly representing the work of others (from any source) as one's own;
- Using, obtaining, or providing unauthorized assistance on examinations, papers, or any other academic work;
- Fabricating data in support of research or field work;
- Forging a signature to certify completion of a course assignment or a recommendation;
- Misrepresenting one's academic accomplishments;
- Viewing, removing or copying any examination materials or any portions thereof by any means, including electronically; and
- The inappropriate or unauthorized use of electronic devices to access information during examinations or assessments.

c. Specific Guidelines for Courses. All submitted work shall be the result of a student's individual effort unless otherwise directed. Representing another's work as one's own is plagiarism and a violation of academic integrity. If materials are taken from published sources, the student must clearly and completely cite the source of such materials.

1) Examinations. No DAU student may take an examination for another student or provide assistance to another student during an examination.

2) Course Assignments. Students are encouraged to discuss the content of a course and to help each other to master it, but no student should receive help in completing a course assignment unless specifically provided guidance indicates the assignment is a group exercise.

3) Multiple Courses. If a student submits all or part of the same work simultaneously for the determination of a grade in two or more different courses, the student must identify that this is the case to their representative instructors and faculty members in the courses involved must approve such submissions.

d. Principles for Computer Use and Network Systems. The use of computers and network systems does not exempt students from the normal requirements of ethical behavior in the DAU community. Use of a computer and network system shared by many users imposes certain additional obligations. While rules are built into computer and network systems, such restrictions cannot eliminate the opportunity for perusal of the work or resources of others.

Student Standards of Conduct

Students are responsible for their actions whether or not rules are built in, and whether or not they can circumvent them. Standards of behavior include, but are not limited to respect for the:

- Privacy of other users' information, even when that information is not securely protected;
- Ownership of proprietary software (i.e., making or using unauthorized copies of such software, even when that software is not protected against copying, is inappropriate and violates this policy);
- Finite capacity of the system and limitation of use so as not to interfere unreasonably with the activity of other users; and
- Procedures established to manage the use of the system.

6. Academic Freedom and Non-Attribution. DAU supports a policy of academic freedom with the privilege of discretionary debate on any subject related to curricula within the university environment. In order to ensure this academic freedom, DAU maintains a non-attribution policy. The objective of this policy is to enable students, instructors, and guest speakers to express their views freely and without possible attribution or embarrassment.

a. Guest speakers, faculty, and students are encouraged to state their opinions, support of, or criticism of any objective, policy, strategy, or tactic in the pursuit of knowledge, understanding, and improvement of the Defense Acquisition Workforce. While the content of discussion is governed by the academic freedom policy, a professional and respectful manner is required at all times. Although policy issues may be debated, individuals must exercise judgment and self-control to avoid acrimonious discussion, to include that which could reasonably be construed to be of a derogatory nature toward personalities in the chain of command.

b. DAU media will be used only for instructional purposes unless specific, written permission for other use is obtained from speaker(s) or participants.

c. In keeping with this policy, statements or remarks shall not be attributed to specific speakers (by name or other identifying comments) unless explicitly permitted by the speaker. Additionally, students' creating audio or video recordings is not permitted except on a case-by-case basis as authorized by the Associate Dean for Academic Affairs (ADAA), such as when an audio or video recording may be necessary to provide a reasonable accommodation to a student with a verified disability or other legitimate purposes. An example of a "legitimate purpose" might be if a course has a class segment on media relations and the segment includes videotaping students doing mock interviews for subsequent in-class playback and critique. Whenever all or part of a class will be taped, the entire class will be informed of that fact.

Violations of the Standards of Conduct

1. <u>Jurisdiction and Penalties</u>. The decision authority to determine whether a specific action shall be treated as a violation of the Standards of Conduct lies with the regional or college Dean. Students who violate these policies may be subject to penalties outlined herein and may be subject to adverse administrative or punitive penalties under military and federal laws.

2. <u>Responsibility for Reporting</u>. Students and staff members discovering an apparent violation should report the matter to the course lead instructor and/or the Dean's office as soon as possible.

3. <u>Procedure for Reported Violations</u>. Upon learning of a violation, the Dean may direct, if necessary, an initial investigation of the circumstances. If the alleged violation involves the faculty or students of another DAU region or college, the respective Deans shall coordinate actions. The DAU General Counsel will act as an advisor to the Dean(s) in this process.

a. If, upon a Dean's review of an allegation, including discussion with the student, the Dean believes Student Standards of Conduct have been violated, that Dean shall present the student with the charge.

b. If the student admits the violation, the Dean has the authority to:

- Direct remedial course work (normally reserved for inadvertent violations of standards);
- Impose a failing grade by assigning an attrition code of "A" (Comprehension/Academic Failure) for more serious violations; and
- Drop the student from the course by assigning an attrition code of "K" (Disciplinary/Misconduct) for violations associated with Academic Integrity, disruptive classroom behavior or excessive absences. If the course is still in session, the student's parent organization and Director, Acquisition Career Management (DACM) will be notified and the student directed to return to their normal place of duty.

c. If the student asserts innocence, the Dean may dismiss the allegation or conduct further investigations as required in order to substantiate the facts, resolve inconsistent issues, or document why the issue(s) cannot be resolved.

d. If, upon further investigation, the Dean determines there is sufficient information to substantiate the allegation, the Dean will provide the student a Letter of Allegation of Violation of the Standards of Conduct containing:

- A description of the allegation and a summary of the facts known to the Dean;
- The action being proposed;
- Provide the student three (3) business days to respond; and
- Procedures to follow to request an extension of response time.

e. If a student fails to respond, the Dean may exercise the proposed action without further inquiry.

Attachment 2

f. If the action proposed by the Dean imposes a failing grade for the course or dropping the student for violating the Standards of Conduct associated with Academic Integrity, disruptive classroom behavior or excessive absences or classroom behavior, a copy of the decision letter will be provided to:

- The student;
- The student's supervisor of record;
- The appropriate DACM; and
- The DAU General Counsel.

These students shall not be eligible to take DAU courses for a period of one year from the date the student was dropped. The student, with the written concurrence of the student's supervisor, may initiate a request for a variance within that time, subject to the approval of the military Service or component DACM concerned.

g. If the student's course grade must be submitted before a decision is rendered, the student shall receive a grade of incomplete. Once a final decision is rendered, the student's record will be updated.

4. Review/Appeal. The student may appeal the decision of the Dean by petitioning the University Vice President by following the procedures for submitting a complaint/grievance in Attachment 13, *Student Inquiries, Complaint/Grievance Procedures*.

5. Attrition Codes. Students dropped from a course for violating the Standards of Conduct associated with Academic Integrity, disruptive classroom behavior or excessive absences will be assigned an attrition code of "K" for Disciplinary/Misconduct.

6. Investigations

a. Investigations conducted by DAU are for the sole purpose of substantiating or vacating allegations of violations of the Standards of Conduct. They are not for the purpose of imposing adverse administrative or disciplinary action. Reports and associated documentation will be maintained as outlined in Attachment 12, *Student Transcripts, Records Retention, and Disclosure of Student Academic Records (Privacy).*

b. DAU will not conduct investigations for, or on behalf of a student's parent organization. DAU will cooperate as required in an investigation into alleged student misconduct conducted by the student's parent organization. Under appropriate circumstances, this may include providing a copy of any DAU investigation and supporting documents upon request of appropriate authorities from the parent agency.

Course Enrollment, Extensions, and Walk-Ins

1. <u>Course Enrollment</u>. Enrollment in DAU scheduled courses is restricted generally to U.S. federal employees, defense industry, and North Atlantic Treaty Organization (NATO) students, select foreign nationals as well as personnel associated with Foreign Military Sales (FMS) training packages.

a. U.S. Federal Employees. DoD components' and agencies' Directors, Acquisition Career Management (DACM) as well as the Federal Acquisition Institute (FAI) for other federal departments/agencies are responsible for coordinating and executing the enrollment functions of their personnel for DAU scheduled courses. Access to the DoD component/agency and FAI registration systems is provided through the DAU Web site at: www.dau.mil/training/apply.

b. Defense Industry, Foreign Military Sales, and NATO Students. DAU will execute the enrollment/disenrollment functions for all Defense Industry, Foreign Military Sales, and NATO students via on the DAU Web site at: www.dau.mil/training/apply.

c. Foreign Nationals. Foreign military and civilian employees of a foreign government must apply for DAU courses through their country's training officer, who will coordinate the training request through the U.S. Army security assistance officer in the Office of Defense Cooperation or an appropriate official in the U.S. Embassy. The U.S. Army Security Assistance Training Field Activity (SATFA), which is the executive agent for foreign members attending DAU courses, will process each individual's application through appropriate channels. The SATFA will coordinate all training requests with the Registrar for Defense Industry, FMS, and NATO Students at 703-805-4498. Security assistance officers or U.S. Embassy officials sponsoring training requests from the host country should go to www.disam.dsca.mil/itm/ for information on training available through the foreign military sales training program.

(1) Military and civilian employees of countries that are NATO members should initiate their training requests through the SATFA by calling 757-788-3255. The SATFA desk officer for NATO affairs will put the student in contact with appropriate NATO training officials to process and coordinate the training request.

(2) A non-U.S. citizen employed by a U.S. defense industry corporation, working for a foreign corporation that has a contract with DoD or any of the military departments, or who is assigned to a U.S. military agency or activity may be eligible to apply for DAU courses. For information about applying for a course, contact the Industry Registrar at industry.registrar@dau.mil or 703-805-4498.

2. <u>Priority of Enrollment</u>. The following priorities apply for attendance in DAU courses:

- Priority 1: Defense Acquisition Workforce members who must meet position training requirements.

- Priority 2: Defense Acquisition Workforce members striving to meet certification standards at a higher level than required within their assigned career field/path.

- Priority 3: Defense Acquisition Workforce members striving to meet cross-functional certification standards.

- Priority 4: DoD Personnel. Components and agencies may subdivide these categories or assign additional priorities below priority 3 as may be required to meet their unique needs.

- Priority 9: All others. This includes industry and other government agencies.

3. Distance Learning Courses. Once a student has been notified of enrollment, the course has commenced and the student has 21 days to acknowledge enrollment. If a student has not commenced work (i.e., clicked the acknowledgement button) within 21 days of the date of the e-mail enrollment message, the student will be dropped automatically from the course as a "No Show." It is the student's responsibility to ensure their e-mail address is accurate and current within the registration system.

4. Course Extensions. Extending the time required to complete course requirements applies ONLY to distance learning course with a rolling admission i.e., self-paced. It does not apply to resident courses or courses delivered via Facilitated On-Line Environment (FOLE). The amount of time a student has to complete the course is driven by the design. The standard for DAU distance learning and continuous learning rolling admission courses is a 60-day completion window. The expected duration time for all DAU courses is published in the iCatalog.

a. Extending the Time for Completing Regular Training Courses. The DAU Help Desk can provide a one-time, 14-day extension upon request from the student. At that time, the DAU Help Desk will provide the student with the instructor contact information. Extensions beyond 14 days can be approved by the instructor and should be given only when the student has demonstrated considerable progress (at least 50 percent of the course requirements) in the course and has come upon unusual circumstances such as mission deployment, health/family problems, or circumstances that impede the ability of DAU to provide appropriate support to the student for the course, etc.

b. Extending the Time for Completing a Continuous Learning Module. The DAU Help Desk can provide a one-time, 14-day extension upon request from the student. Additional extensions beyond this one-time extension will NOT be granted.

5. Walk-ins. A walk-in is a student who does not have a confirmed seat reservation but shows up at the beginning of the course in an attempt to secure a vacant seat. A walk-in may or may not be on the wait list for the specific course offering.

a. Wait List Students. If a student is on the wait list, they have been properly registered by their component/agency DACM and will be seated in the following priority order:

1st Priority 1 students on the wait list
2nd Priority 1 students **not** on the wait list (if meeting exception rule in paragraph 5.b. below)

Course Enrollment, Extensions, and Walk-Ins

3rd Priority 2 students on the wait list
4th Priority 3 students on the wait list
5th Priority 4 students on the wait list
6th Priority 9 Industry personnel on the wait list
7th Priority 9 Federal agency personnel

b. Non-wait List Students. Students NOT on the wait list will be considered for entry AFTER wait list students regardless of the student's priority. **There is one exception to this rule: Priority 1 students with a seat reservation in a future course attempting to secure a seat at an earlier offering as a walk-in will be considered as on the wait list and must bring a copy of their seat confirmation so the student's priority status can be validated. Students are urged to get on the course wait list prior to attempting to secure a seat as a walk-in**.

c. All walk-in students must present appropriate Government Issue photo identification for admission. If the student is not on the wait list, the student must also provide proof that the student has completed the course prerequisites. The only exception to this are those Priority 1 students with a seat reservation in a future course noted in the exception category in paragraph 5.b. above.

d. *Students attempting to secure a seat as a walk-in are strongly advised NOT to travel. Students incurring travel expenses do so at their own risk.*

e. *It is the responsibility of the supporting campus student services representative to ensure the lead instructor for the course is provided with a copy of the wait list not later than 30 minutes prior to the start of the course*. The campus student services representative will access the student's priority by going into ATRRS.

Disenrollment, Dropping a Course, and Wait Lists

1. <u>Background</u>

a. *Course disenrollment, sometimes referred to as a cancellation or student cancellation, is an action taken with a registered student prior to the commencement or start of a course, whereas dropping or withdrawing from a course is an action taken with a student once the course has commenced.* For resident courses, the course commencement date is the published start date of the course regardless of whether or not the course has pre-course work requirements. For distance learning courses to include the delivery of continuous learning modules, the start date is the date the student welcome message is generated and sent via email notifying the student of their enrollment. *<u>It is the student's responsibility to ensure their e-mail address is accurate and current within the registration system.</u>*

b. Wait Lists. Students on a wait list have been properly registered but do not yet have seat reservations in the course. Assuming seats are available, 65 days prior to the start of a course, students on the wait list automatically will be enrolled in the course with seat reservations and a notification of enrollment will be sent to the student via e-mail. If the student was on multiple wait lists for the same course, they automatically will be removed from the other wait list enrollment requests.

2. <u>Resident or Facilitated On-line Environment (FOLE) Courses</u>. These courses have a specific start and end date and are listed in the registration system. Enrollment occurs when a welcome message is generated by the registration system.

a. Disenrollment or Enrollment (Student) Cancellation. Prior to the commencement of a resident or FOLE course, it is the responsibility of the student's component or agency Directors, Acquisition Career Management (DACM) to coordinate and execute disenrollment functions (student cancellations). For other Federal employees it is the responsibility of the Federal Acquisition Institute (FAI). DAU will take action to support the cancellations of registered industry students. *It is the student's responsibility to contact their appropriate representative.* Access to the DoD component/agency and FAI registration systems is provided through the DAU Web site at: www.dau.mil/training/apply.

b. Dropping or Withdrawing from a Course

(1) *While engaged in instruction at DAU, the student remains under the administrative and operational control of the student's parent organization.* Accordingly, DAU will not initiate or modify travel orders for students and it is the student's responsibility to return to their place of duty or where directed by their parent organization. DAU (appropriate campus Associate Dean for Academics) will, however, provide coordinating assistance as appropriate.

(2) After course commencement, if a student must drop, the lead instructor will evaluate the situation and assign the student an appropriate attrition code as noted below.

(a) Unit Recall. Attrition Code "N". Used when the student's parent organization has notified DAU that the student is to be dropped and returned to their normal place of duty. In this

case the student's parent organization should contact the DAU Center for Scheduling and Student Support at Scheduling@dau.mil.

(b) Medical and/or Illness. Attrition Code "O". Should a student become ill or require medical attention such that the student is unable to complete the course requirements, the student must notify the course lead instructor who will work with the hosting campus Associate Dean for Academics to notify the student's parent organization and coordinate actions as may be necessary.

(c) Emergency Leave. Attrition Code "I". Similar to medical and/or illness, if the student experiences a family situation that necessitates emergency leave, the student must notify the course lead instructor who will work with the hosting campus Associate Dean for Academics and the student's parent organization and coordinate actions as may be necessary.

(d) Voluntary Drop (Withdraw) from Course. Attrition Code ")". If for reasons other than stated above, the student wishes to drop or withdraw from a course, the student may do so after *the student must receive approval from their parent organization and present such approval to the student's lead instructor prior to withdrawing*.

(3) Assigning the Attrition Code. The attrition codes identified above will be assigned to a withdrawing student assuming the student's academic performance at the time of withdrawal has been determined to meet mastery criteria.

(a) If, at the time of withdrawal, the student has failed to achieve master criteria for a course and it is determined that regardless of the student's performance on the remaining course assessments, the student **CAN NOT** achieve the mastery criteria for the course, the student will be assigned an attrition code of "A" for Comprehensive/Academic Failure.

(b) If, at the time of withdrawal, the student is the subject of a disciplinary/misconduct action for violations of the Standards of Conduct associated with Academic Integrity, disruptive classroom behavior, or excessive unexcused absences, the student will be assigned an attrition code of "K" Disciplinary/Misconduct. The attrition code of "K" will not be assigned until the review/appeal process outlined in Attachment 13, *Student Inquiries, Complaint/Grievance Procedures* has been completed.

c. Wait List Removal

(1) Students on a wait list are automatically removed when enrolled in a course. Assuming seats are available, 65 days prior to the start of a course, students on the wait list will be enrolled automatically in the course and a notification of enrollment will be sent to the student via e-mail. If the student was on multiple wait lists for the same course, they student will be removed automatically from the other wait list enrollment requests.

(2) While on a wait list it is the responsibility of the student's component or agency DACM to coordinate and execute a wait list removal. For other Federal employees it is the responsibility of FAI. DAU will take action to support the cancellations of registered industry

students. *It is the student's responsibility to contact their appropriate representative.* Access to the DoD component/agency and FAI registration systems is provided through the DAU Web site at: www.dau.mil/training/apply.

3. Distance Learning (DL) Courses and Continuous Learning Modules (CLM). These are courses delivered via rolling admission (i.e., no specified start and end date). Enrollment occurs when the student's welcome message (enrollment notice) is generated by the registration system. This occurs typically within 24-48 hours of the student's request for enrollment. Accordingly the probability that a student is on a wait list is infrequent. Additionally, the student always will have potential of achieving mastery criteria unless the student fails a third (3rd) test attempt.

a. Disenrollment, Dropping, or Wait List Removal. In all cases, **ONLY DAU STAFF** can affect a student disenrollment, drop, or removal from the wait list. Assuming enrollment, the attrition code assigned will be ")" for Voluntary Drop from the Course. To initiate this action, the student or the DACM representative must contact the DAU Help Desk at 703-805-3459 option 1 or e-mail the DAU Help Desk at DAUHelp@dau.mil requesting this action. The email must include:

- Student Name: (*Student Name*);
- Course: (*Course ID such as ACQ101*); and
- Section: (*Insert section number of the student*).

b. 21-Day Acknowledgement Rule. Once a student has been notified of enrollment, the course has commenced and the student has 21 days to acknowledge enrollment. *If a student has not commenced work (i.e., clicked the acknowledgement button) within 21 days of the date of the enrollment message via e-mail, the student will be dropped automatically from the course as a "No Show." It is the student's responsibility to ensure their e-mail address is accurate and current within the registration system.*

4. Disenrollment/Dropping Penalties

a. Except for substantiated violations of the Standards of Conduct as noted in Attachment 2, *Violations of the Standards of Conduct*, DAU does not impose any penalties or waiting periods for students who:

- "No Show" a course;
- Cancel an enrollment for a course; or
- Are dropped from a course.

b. DoD components and agencies as well as FAI may implement restrictions or a waiting period on future enrollments for students who fail to complete a course for one of the reasons outlined in paragraph 4.a., above.

Course Prerequisite/Pre-course Work Requirements

1. Background. In order to develop a comprehensive curriculum that meets the needs of the Defense Acquisition Workforce, complies with accreditation standards, is within available resources, and promotes learning, DAU, in its curriculum design processes builds frequently upon the knowledge and skills gained from other DAU courses. Accordingly, DAU has established course prerequisite requirements for many of our training courses that must be met in order to register for a course. Students not only are required to meet course prerequisite requirements but must be competent in prerequisite knowledge and skills. These requirements are deemed essential for successful participation in a higher-level course where functional specialization is emphasized or higher-level courses are designed to enhance the employee's capabilities in a primary specialty or functional area.

2. Establishing Course Prerequisite Requirements

a. Once established, course prerequisites usually will not be modified. Should an additive requirement be identified that facilitates the learning process, the inclusion of the additive requirement **will not** be imposed but "recommended" for current fiscal year offerings before being imposed for future fiscal year offerings. Changes to course prerequisite requirements normally are identified by the first Monday in January of the fiscal year preceding implementation.

b. Course prerequisites are listed in the iCatalog on the course concept cards along with the course description and other course unique information.

3. Meeting Course Prerequisite Requirements. Prerequisites may be in the form of specified DAU coursework, individual grade/position requirements, or work experience requirements.

a. All students must meet course prerequisite requirements unless the requirement has been waived. See paragraph 4, below.

b. Prerequisite DAU courses are met by completing the designated DAU course; completing an approved equivalent course (acceptable equivalent courses are listed online in the DAU iCatalog at http://icatalog.dau.mil/appg.aspx); or by fulfilling the prerequisite course through an assessment of the student's previous education and training experiences against the prerequisite course learning outcomes, by the student's component. *Note that the DAU Fulfillment Program **DOES NOT** extend to 400-level coursework. Information on the DAU Fulfillment Program is online in the DAU iCatalog at http://icatalog.dau.mil/DAUFulfillmentPgm.aspx.*

c. The prerequisite also may be met if the student has completed the predecessor course to the prerequisite as long as the predecessor has not expired at the time of application.

d. Walk-in Students. Walk-in students NOT on the wait list will be required to provide documentation citing successful completion of prerequisite DAU course(s). Walk-in students who do not provide appropriate documentation will not be admitted to the course. Appropriate documentation includes:

- The student's DAU transcript;

Attachment 5

- An equivalent course completion certificate; or
- A complete and approved DD Form 2518 (Fulfillment Request).

4. Waiving Course Prerequisite Requirements

a. Students who do not meet the course prerequisite requirements stand a greater risk of failure. However, to facilitate a student's immediate registration or meet organizational and/or student needs, course prerequisite requirements may be waived for 300-level courses and below. The justification for a waiver must be documented within the component or agency registration system.

b. The authority to waive course prerequisites for individual student on a case-by-case basis rests with:

- Component Directors, Acquisition Career Management (DACMs) or their representative for DoD students;
- Director, Federal Acquisition Institute (FAI)/agency head or their representative for federal government non-DoD students; and
- DAU, Director, Performance and Resource and Management (PRM) for industry students.

c. ***For Defense Acquisition Workforce students, the preferred approach in lieu of a waiver is to exercise the DAU Fulfillment Program, prior to approving a registration.***

d. ***Prerequisite requirements for 400-level DAU courses (400-level course prerequisites, grade, position and/or work experience requirements) may NOT be waived for attendance at 400-level DAU courses.***

5. Failing to Meet Course Prerequisite Requirements. Students failing to meet course prerequisite requirements will be refused entry to a course if the student is a walk-in not on the wait list. DAU personnel will NOT refuse entry to a course by any student failing to meet course prerequisite requirements if the student has been properly registered, enrolled or wait listed for the course through their components registration system.

6. Pre-course Work Requirements. Many resident courses have pre-course work requirements to facilitate the effective delivery of the course material. These requirements will be articulated to the student upon enrollment and/or when the student logs on to DAU Blackboard per instruction in the enrollment notice.

Most pre-course work requirements are assessed activities that will impact the student's ability to achieve mastery criteria for a course. Pre-course work requirements may account for as much as 20 percent of the student's overall academic performance. Students who fail to complete the pre-course work may find it difficult to achieve mastery criteria especially if the pre-course work accounts for 15-20 percent of the course mastery criteria.

Course Prerequisite/Pre-course Work Requirements

7. <u>Responsibilities</u>

a. Director, Learning Capabilities Integration Center (LCIC); Dean, Defense Systems Management College (DSMC); Dean, College of Contract Management (CCM)

(1) Ensures appropriate course prerequisites are established for their assigned courses.

(2) Ensures the Director, Performance and Resource Management (PRM) is advised of all course prerequisites, changes, and effective dates.

b. Director, Performance and Resource and Management (PRM)

(1) Communicates changes to course prerequisites within DAU and to the components ensuring the registration system(s) supporting DAU course registrations are maintained with current and future course prerequisite requirements.

(2) Determines adherence to the course prerequisite directive through periodic reviews with the DACMs.

(3) Provides course registration services for industry students and establishes a process to evaluate the training and experience of industry students in order to ensure they have the potential to complete the course and to contribute industry perspective and experience.

c. Regional and College Deans

(1) Screen walk-in students who are on the non-wait list for meeting course prerequisites. Students who cannot show documentation that supports their successful completion of a DAU prerequisite course(s), equivalent course(s) offered by a certified equivalent training provider, or a DD Form 2518, Fulfillment of DoD Mandatory Training Requirement(s), will NOT be admitted to the course.

(2) Ensure that a class roster (official listing of students eligible to participate) is generated from ATRRS or STARS not later than the Friday prior to the start of the course.

(3) Collect data as deemed appropriate for students experiencing academic difficulties who were waived into a course for discussions with the University senior leadership regarding the appropriateness of current course prerequisite policies.

Student Travel

1. <u>Background</u>. DAU does not directly provide funding to students for travel and per diem expenses. DAU does, however, allocate funding to each of the components and agencies to assist with student travel expenses. Funding is to be utilized for Priority 1 students and on a funds available basis for Priority 2 students.

2. <u>Responsibilities for Student Travel, Per Diem, and Reimbursement</u>

a. Each component and agency Acquisition Career Management Office or parent organization is responsible for coordinating and funding student travel requirements and expenses for eligible students based on component or agency-specific policy.

b. Students must consult with their appropriate Acquisition Career Management Office for policy and guidance concerning travel requirements. Students should arrive with a government credit card to pay for all legitimate travel-related expenses or, if needed, draw cash advances in lieu of receiving advance per diem payments. DAU does NOT process travel claims or provide advance per diem payments. The student should know the name and telephone number of the government credit card program coordinator for his or her Service or organization so he/she knows whom to contact for government credit card questions.

Student Assessment and Evaluation

1. Background

a. DAU provides certification training as mandated by the Defense Acquisition Workforce Improvement Act. The University also sponsors and provides a variety of specialized and continuing education curricula for the acquisition workforce. The acquisition workforce participates in DAU courses in order to meet or exceed certification requirements, assignment-specific, and continuous learning requirements relevant to explicit acquisition career fields. DAU offers students curricular opportunities in a variety of learning modes. Such approaches include, but are not limited to: traditional classroom, distance learning (DL), DL-hybrids, asynchronous, and asynchronous-hybrids. Due to the diversity of the DAU curricula levels and delivery modes, student learning assessments will be equally diverse.

b. From an institutional perspective, and in order to meet accreditation requirements, DAU is required to demonstrate student learning progress. Therefore the institution must have students exhibit levels of performance on either measures of general skills and competencies or on tests of specific knowledge related to occupational education and/or specialty curricula.

c. Outcome assessment planning is governed by the principles and guidelines outlined in the DAU Curriculum and E-Learning Asset Development Guides. Assessment information is gained from criteria-based (rather than norm-referenced) tools through the systematic collection and examination of assessment-aggregated data (rather than the performance of students on a particular examination) in order to document and improve student learning.

2. Policies

a. Mastery Standards. DAU does not assign letter grades for course completions. DAU employs a mastery (level required for graduation) system. Students must meet prescribed mastery standards to successfully complete a DAU course. For classroom-based and distance learning courses, the standards are as follows:

(1) Classroom-based courses. Mastery is achieving an aggregate score of 80 percent or higher on the cumulative assessments and/or required coursework. These standards, as well as student assessment methods, typically will be discussed on the first day of class and provided to the student in writing.

(2) Distance Learning courses. Mastery is scoring 100 percent on each online assessment. *The student will have three (3) opportunities for achieving 100 percent on each assessment.* Students strongly are encouraged to seek assistance from the assigned faculty prior to making a third attempt. Students failing the third test attempt will be dropped from the course as a failure and must be re-enrolled.

(3) Continuous Learning Modules (CLMs). There is no limit on the number of attempts a student may make to achieve 100 percent in completing a CLM.

(4) Students who achieve the mastery standards and successfully complete the course requirements will graduate from the course. The course completion, i.e., credit, will be displayed on the student's official transcript.

b. Failing to Achieve Mastery Standards

(1) Classroom-based courses. Students who fail to achieve mastery standards (i.e. receive and attrition code of "A" for Comprehension/Academic Failure), have the right to contest their failure within three (3) business days of the course completion by providing a written request to review their assessment instruments to the teaching campus Associate Dean for Academics. If, prior to graduation, it has been determined that a student will fail to achieve mastery criteria given the remaining assessments and assuming the student were to receive maximum credit possible on the remaining assessments, the student may be retained in the course if that is the desire of the student and the student's parent organization. For these students, following actions will occur:

(a) The course lead instructor will notify the student and inquire as to the student's desire to continue in the course.

(b) The student will notify their parent organization to obtain guidance as to whether or not the student will be returned to their place of duty or remain in the course through graduation. It will be ASSUMED that the student will remain in the course through graduation unless the student obtains written authorization to return to their place of duty. Written authorization can be in the form of an e-mail addressed to the course lead instructor originated from the student's supervisor or other appropriate organizational official. Students returning home will not participate in any further course activities. Students being retained will continue to participate in all activities and assessments.

(c) Failing students who remain in the classroom are expected to participate fully in all course activities and assessments as well as abide by the Standards of Conduct outlined in Attachment 1, *Student Standards of Conduct*. Failure to do so may be cause for removal from the classroom and the assignment of an attrition code of "K" for *Disciplinary/Misconduct*. Failing students will not be authorized to complete an end of class survey.

(2) Distance Learning courses. Students who fail to achieve mastery standards may contest a failure by requesting a test reset if they believe the failure was due to a "bad" test question or the course material does not support the test question. Procedures for requesting a test reset are outlined in Attachment 11, *Test Reset Policy and Procedures*.

(3) Students who fail to achieve mastery standards will not receive credit for the course. An attrition code of "A" for comprehensive/academic failure will be entered on the student's official record. The failure however, will not appear on the student's official transcript.

(4) The teaching campus Associate Dean for Academics or designee will issue a failure letter notice to the student with a copy provided to the student's supervisor and to the Director,

Performance and Resource Management (PRM), Attention: Center for Scheduling and Student Support. The letter will state that the student failed to achieve mastery standards.

c. Course Student Assessment Plan (CSAP). Each course will have a CSAP which is part of the course Plan of Instruction (POI). At a minimum, the CSAP outlines the:

- Student Assessment Strategy;
- Course Outcomes (terminal leaning objectives);
- The Level of Cognitive Complexity (Bloom's level);
- Assessment Method(s); and
- Types of Assessment Scoring Instrument(s).

d. Student Assessments. Student assessments will clearly identify student achievements, to include providing feedback on student mastery or lack of mastery on all learner-focused outcomes as described in the CSAP.

3. Responsibilities. The primary responsibility for the quality and standards of student/participant assessment in DAU lies close to the point of delivery with the individual faculty and in some instances with the mode of delivery (e.g., DL). However, effective leadership and good management also are vital to ensure faculty members are supported in designing and implementing assessment strategies, as follows:

a. The University ensures that:

(1) Assessment practices are explicit, fair and consistent across the institution.

(2) Assessment procedures are monitored throughout the region or college and other sites so they meet the criteria set out in this document.

(3) Resources are available to provide faculty and staff with access to information and expertise on the theory and practice of assessment.

(4) Policies regarding special consideration following sickness or other misadventure, and for students with disabilities, are explicit and applied consistently.

(5) Policies on plagiarism and cheating, including penalties for breaches, are explicit and consistently applied.

(6) Appropriate appeal processes are available and publicized.

b. Director, Learning Capabilities Integration Center (LCIC); Dean, Defense Systems Management College (DSMC); Dean, College of Contract Management (CCM). Working through their Center Directors or other appropriate faculty along with their supporting Instructional System Designers, ensure that:

Student Assessment and Evaluation

(1) CSAPs are completed and learning outcomes state the performance expected of the student; that the outcome statements are clear, specific, concise, and measurable; and that the outcomes are reflective of the implied or stated performance requirements of the associated competency based upon the level of instruction.

(2) Developed courseware includes a discussion of learning outcomes at the beginning of the learning event and opportunities for providing student feedback are built into the design.

(3) The overall success of the curricula within their charge is evaluated regularly (at least tri-annually) and institutes improvement plans as required.

c. Performance Learning Directors and Course Managers. Working with their supporting Instructional Systems Designer, will:

(1) Develop assessment instruments and rubrics consistent with the performance measures outline in the outcomes.

(2) Design student feedback mechanism for their assigned course.

(3) Review regularly (at least tri-annually) assessment instruments and rubrics utilized in their assigned course(s) against student results for appropriateness.

(4) Develop a grade book for recording student progress consistent with the course CSAP.

d. Instructional Faculty. The Lead Instructor for a resident course will ensure that:

(1) Assessments and/or rubrics are used and student feedback is provided as designed/approved and outlined in the POI and instructor supporting materials.

(2) Each student's grade book is properly maintained as well as other student training records as outlined in Attachment 12, *Student Transcripts, Records Retention, and Disclosure of Academic Information (Privacy).*

(3) That proper feedback is provided to the student in a timely manner relative to the assessed learning event.

(4) Students are properly notified if their progress in a course falls below acceptable standards for course mastery.

(5) Learning outcomes are discussed with students prior to the learning event.

e. Students. Comply with the Standards of Conduct outlined in Attachment 1 of this directive as related to all work and attendance requirements associated with a DAU course.

Student Attrition Codes

1. <u>Attrition Codes</u>. Students who do not successfully complete a Defense Acquisition University course will receive one of the below course attrition codes:

Attrition Code	Definition	Applicable to	
		Resident	**Distance Learning**
A	Comprehension/Academic Failure	Yes	No
I	Emergency Leave	Yes	No
O	Medical and/or Illness	Yes	No
K	Disciplinary/Misconduct	Yes	Yes
N	Unit Recall	Yes	No
)	Voluntary Drop From Course	Yes	Yes

2. <u>Attrition Code Explanations</u>. Except for Discipline/Misconduct and Voluntary Drop From Course, the below attrition codes apply to resident courses only.

a. Comprehension/Academic Failure "A".

(1) Used when a student fails to achieve the master criteria for a course or at any time during a course if it is determined that regardless of the student's performance on the remaining course assessments, the student can **NOT** achieve the mastery criteria for the course.

b. Emergency Leave "I". Used when a student must drop a course due to a family emergency and the student's performance to date indicates the potential to meet mastery criteria as outlined in Attachment 4, *Disenrollment, Dropping a Course, and Wait Lists.*

c. Medical and/or Illness "O". Used when a student must drop a course due to personal illness or medical reasons and the student's performance to-date indicates the potential to meet mastery criteria as outlined in Attachment 4, *Disenrollment, Dropping a Course and Wait Lists.*

d. Disciplinary/Misconduct "K". Regardless of the student's achievement towards mastery criteria, may be used when:

(1) It has been substantiated that a student violated the Standards of Conduct associated with Academic Integrity as outlined in Attachment 1, *Student Standards of Conduct.*

(2) For unexcused absence as outlined in Attachment 1, *Student Standards of Conduct.*

(3) A student becomes disruptive, uncooperative, or fails to reasonably participate in the course requirements.

e. Unit Recall "N". Used when a student must drop a course due to unit recall as outlined in Attachment 4, *Disenrollment, Dropping a Course and Wait Lists.*

Student Attrition Codes

f. Voluntary Drop From Course “)”. Used when a student must drop a course due to a family emergency and the student’s performance to-date indicates the potential to meet mastery criteria as outlined in Attachment 4, *Disenrollment, Dropping a Course, and Wait Lists.*

3. Responsibilities. In addition to those aforementioned responsibilities, the Regional Student Services representative (for the respective teaching campus) is responsible for entering the data (graduation or attrition code) into the student’s official record for classroom-based courses after proper notification from the course lead instructor.

Accommodating Students with Disabilities

1. <u>Policy</u>. Every reasonable effort will be made to accommodate students with special needs. *DAU is best able to do this when the student submits an accommodation request via the automated registration system while registering for a course.* If no request is identified during the registration process or in sufficient time to respond, then DAU cannot guarantee that it can provide appropriate assistance. If the student is waitlisted for the course and moves into an enrolled status within 14 days of the start date, or is a walk-in, DAU will make every effort to ensure that any necessary accommodations will be provided; however, given the short lead time, such accommodations cannot be ensured in every case.

2. <u>Responsibilities</u>

a. Classroom-based courses (DAU Facilities)

(1) Physical Disabilities. The student services representative of the respective hosting campus is responsible for arranging all DAU classroom-based course accommodations. If contracted services are required, the DAU Center for Scheduling and Student Support will support the campuses by arranging for coordination of reasonable accommodations/services.

(2) Learning Disabilities. The campus Associate Dean for Academics will work with the instructor to consider and make appropriate accommodations for those students who have a documented learning disability. The documentation must specify the nature of accommodations required.

b. Distance Learning courses. The student is responsible for advising the DAU Help Desk should the student have an impairment that impedes access to the courseware online.

c. Component/Agency Hosted (On-Site). The Center for Scheduling and Student Support will notify the hosting agency of students requiring special accommodations. The hosting agency is responsible for working with DAU Scheduling and Student Support Office to coordinate the arrangement of appropriate accommodations. If required, DAU (Performance and Resource Management) will provide necessary funding.

d. Students. Students with special needs should disclose to DAU during the registration process. If a special need arises subsequent to registration, students should contact DAU at the earliest opportunity to discuss necessary arrangements. While DAU will attempt to satisfy special needs requests in all appropriate circumstances, it is best able to do so when it has sufficient lead time to work out suitable solutions.

Transferring Students Between Career Fields (Programs) and from Other Institutions

1. <u>Background</u>. DAU does not transfer students between programs (acquisition career fields). The certification program associated with the acquisition career field a student pursues is determined by the requirements of the position the student is hired or assigned into by the student's parent organization. Students may elect to pursue a subsidiary program career field certification in addition to their required program for cross-functional training purposes at the discretion of their supervisor.

2. <u>Policy</u>. The certification programs supported by DAU are unique to DoD and based on the student meeting training standards (directly supported by DAU) as well as education and experience standards. To support the transfer or movement of students between programs or acquisition career fields and students who have engaged in educational/training courses from DAU as well as other institutions or organizations, DAU employs the following policies/programs:

a. Students who receive credit for a DAU course may apply the credit to any certification program that requires that course without any further assessment of the student. For example, if two or more programs require the same course within their certification framework, once the course is completed, it may be applied towards any certification program that requires the course.

(1) Receiving Credit for a DAU Course. Credit is received by successfully completing a DAU scheduled (via the approved course registration system) course; an approved DAU equivalent course; or by component/agency approval of a Request for Fulfillment.

(2) Students should remember that although a course may apply to more than one certification program at the time of course completion, Defense Acquisition Workforce members must meet the certification standards that apply at the time of certification. In other words, the applicability of the course may have expired especially if the course was completed two or more years prior to meeting all the certification standards.

b. Equivalency Program. Students can complete DAU course prerequisite requirements and their program training standards (training requirements for career field certification) by exercising the Equivalency Program. DAU provides the opportunity for other organizations (federal government agencies, colleges/universities, private vendors, and non-profits) to offer courses, programs, or certifications which DAU would accept as equivalent to one or more DAU courses if upon evaluation of the materials and standards, they adequately address the entire DAU course learning outcomes for a selected DAU course. **It is the responsibility of the organization providing that instruction to request equivalency.** DAU will accept, without further assessment of the student, the equivalent course completions a student has pursued through other resources when fulfilling course prerequisite requirements. Furthermore, DoD components and agencies will accept equivalent course completions when fulfilling the training standards outlined in the various certification programs.

c. Fulfillment Program. DoD students assigned to an acquisition position can complete DAU course prerequisite requirements and their program training standards (training requirements for career field certification) by exercising the Fulfillment Program. The student initiates the

process for a fulfillment request on a DD Form 2518. DoD components and agencies assess the student's past training and/or experience, regardless of source, against the learning outcomes of select DAU courses. If the DoD component or agency approves the fulfillment request they are certifying that the student possesses the knowledge, skills, and abilities that would otherwise have been gained by attending the DAU course. It is the responsibility of the acquisition workforce member's component or agency to implement the fulfillment program. DAU will accept, without further assessment of the student, the approved fulfillments a student possesses when fulfilling course prerequisite requirements. Furthermore, DoD components and agencies will accept equivalent course completions when fulfilling the training standards outlined in the various certification programs. **The Fulfillment Program is applicable to training courses (excluding 400-level courses) only. It is NOT applicable to Continuous Learning Modules.**

d. Detailed information and guidelines for the Equivalency and Fulfillment Programs are outlined in detail on the DAU Web site (http://icatalog.dau.mil/student_info_H.asp) in the iCatalog.

Test Reset Policy and Procedures

1. <u>Background</u>. The test reset policy is applicable only to distance learning training courses. As outlined in the Student Assessment and Evaluations attachment, students who fail to achieve mastery standards for a distance learning course (i.e. fail a test for the third time) may contest a failure by requesting a test reset if they believe the failure was due to a "bad" test question or the course material does not support the test question.

2. <u>Policy</u>. Students who fail to achieve the distance learning mastery standards outlined in Attachment 7, *Student Assessment and Evaluation* will be dropped from the course as a failure and must be re-enrolled unless one of the following two conditions exists:

a. DAU System Failure. When there has been a DAU system(s) failure, the adversely impacted student(s) may have their last testing attempt reset and/or course failure removed if applicable.

b. Approved Content Challenge. When a course failure is related directly to a course content/test question challenge and that challenge has been accepted (validated by the course instructor), the student's last test may be reset and the course failure removed.

c. Test resets outside of one of the above conditions may be approved only by the Director, Learning Capabilities Integration Center (LCIC) when it is substantiated that failure was due to a technical issue beyond the student's control (i.e., a student hitting the wrong key is within the student's control).

3. <u>Procedures</u>

a. DAU Systems Failure. Outside of a general systems failure such as the DAU Learning Management System (LMS) going down, minor technical malfunctions in the LMS could impact the grading system such as the student responding correctly to a question but not receiving credit (i.e. a "0" percent error).

(1) The DAU Help Desk handles all DAU system failures.

(2) When a student or faculty member believes there has been a DAU systems failure, they are to notify the DAU Help Desk at DAUHelp@dau.mil as follows:

From: (*Student or DAU faculty member*)
To: DAUHelp
Subj: NOTICE OF SYSTEM FAILURE

I am requesting a test reset due to a DAU systems failure.
(*Describe what you believe the issues to be causing you or the student to fail a course*)

If validated, the reset is for:

Student Name: (*Student Name*)
Course: (*Course ID such as ACQ101*)
Section: (*Insert section number of the student*)
Exam: (*Identify the exam at issue such as Lesson 2 Test*)

I can be reached by phone at: (*insert requestor's phone number*)

/s/

(3) When a DAU staff or faculty member (to include the assigned instructor), is notified of a DAU systems failure that adversely impacts a student's progress in a distance learning course, that staff or faculty member is responsible for directing the individual to the DAU Help Desk for assistance.

(4) Upon notification of a systems failure (typically a "0" percent error), the DAU Help Desk validates the problem, creates a trouble ticket, and sends information to LCIC (appropriate representative in the Integrated Learning Systems Center). The student(s) account will be reviewed and upon verification, the students account will be reset/re-enrolled as appropriate with a resolution email going back to the DAUHelp Desk to close the action and follow up with the student.

b. Approved Content Challenge. If a student fails their last test attempt, but develops rationale showing why a test question is bad, or why course material does not support the question, the student may initiate a test question/content challenge.

(1) The assigned instructor handles all content challenges.

(2) When a student believes there is a bad test question or the content in the course does not support the test question, they may notify the DAU Help Desk at DAUHelp@dau.mil as follows:

From: (*Student*)
To: DAUHelp
Subj: TEST QUESTION/CONTENT CHALLENGE

I am initiating a content challenge, and if approved, requesting a test reset.

(*describe what you believe the issues to be causing you to fail a course*)

If approved, the reset is for:

Student Name: (*Student Name*)
Course: (*Course ID such as ACQ101*)
Section: (*Insert section number of the student*)

Test Reset Policy and Procedures

Exam: (*Identify the exam at issue such as Lesson 2 Test*)

I can be reached by phone at: (*insert requestor's phone number*)

/s/

(3) The DAU Help Desk and all staff and faculty, upon notification of a content challenge, will direct the student to the assigned instructor for assistance.

(4) If appropriate, the instructor affirms the student claim that the test question is bad or the content of the course does not support the question.

(5) If affirmed, the instructor sends an e-mail to the DAU Help Desk with a copy to the course manager (see below) and others in accordance with the teaching policies of the region or college, instructing the Help Desk to manually pass the student.

(6) Help Desk takes action as requested and the Course Manager takes an action to correct the test question and/or content as appropriate.

From: (*DAU Instructor*)
To: (*DAUHelp*)
Cc: (*Course Manager*)
Subject: (*Pass Test*)

I have determined that …..

Please manually pass/reset the exam *(as appropriate)* for the student below.

Student Name: (*Student Name*)
Course: (*Course ID such as ACQ101*)
Section: (*Insert section number of the student*)
Exam: (*Identify the exam at issue such as Lesson 2 Test*)

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Student Transcripts, Records Retention, and Disclosure of Academic Information (Privacy)

1. <u>Transcripts</u>. *The information reflected on the student transcript represents the information contained in the official system of record regarding the student's course completions*. Official and unofficial student transcripts for courses taken at DAU schools or affiliated course providers can be obtained for those courses completed since the establishment of DAU in FY 92 and which were processed through the Army Training Requirements and Resources System (ATRRS). If a student took a course before the establishment of DAU in FY 92, a transcript may not be available as the school/provider may either no longer exist or may not be required to maintain student information. DAU can only guarantee transcripts for courses taken since the University was established.

a. Student transcripts are available upon the students request on the DAU Web site at: https://www.atrrs.army.mil/channels/dautranscript/default.asp.

b. DAU does not accept requests for transcripts delivered by any other means than through the secure Web site noted above nor will DAU release a student transcript to a third party without the consent of the student via the secure Web site noted above.

c. Student transcripts will display only those DAU courses for which the student has successfully completed or been granted credit for through the DAU Equivalency Program or the DAU Fulfillment Program as outlined in Attachment 10, *Transferring Students Between Career Fields (Programs) and from Other Institutions.*

2. <u>Student Records and Student File Retention</u>. Student information (data and records) are divided into two types; those data elements that pertain to and support the implementation of the Defense Acquisition Workforce Improvement Act (DAWIA) referred to as Workforce Qualification Records and those that pertain to academic performance (training records). Some student data elements will be resident in both types of records in order to identify the student and collect data for aggregation purposes as may be required. Student Files on the other hand, consists of all digital and/or paper copies of correspondence supporting documentation and data that may be associated with violations of the standards of conduct (see Attachment 1) or associated with a student's formal complaint/grievance as outlined in Attachment 13.

a. Workforce Qualification Records. Data elements associated with workforce qualification records include student identifying information, course completion data, and information related to the student's academic and experience achievements. These records are <u>retained indefinitely</u> in order to support the Department's effective management of the acquisition workforce as required by DAWIA.

b. Training Records. These are data elements associated with the requirements within a specific course including student work products, exams, grade book information, etc.

(1) For students who successfully complete a course, there is no requirement to retain training records beyond the student's graduation from the course.

(2) For students who fail to achieve mastery criteria (resident and FOLE courses only), the students training records will be retained by the campus Associate Dean for Academics for at least 60 days following the completion date of the course. The University's learning management system will retain student data for distance learning courses.

c. Student Files. Files created when a student receives an attrition code of "K" as outlined in Attachment 2, *Violations of the Standards of Conduct* and Attachment 8 *Student Attrition Codes;* or files created as a result of a formal student complaint/grievance as outlined in Attachment 13; will be retained by the campus Associate Dean for Academics for at least 60 days following final resolution and by the Center for Scheduling and Student Services (CSSS) for at least two years following the date of final resolution. The Office of the President will provide copies of the final resolution to both the campus Associate Dean for Academics and to CSSS.

3. Disclosure of Academic Information (Privacy)

a. DAU complies with the Privacy Act of 1974 (Title 5, U.S.C., Section 552a) as amended by Public Law 93-579.

b. Note that Title 5, U.S.C., Section 552a(b)(1), specifies *that a federal agency may disclose its own internal records to "those officers and employees of the agency . . . who have a need for the record in the performance of their duties."* Accordingly, DAU will provide academic performance information to a student's supervisor upon the request of the supervisor or other appropriate authority within the student's chain of command. This includes students who fail to achieve mastery criteria or are dropped due to a violation of the Standards of Conduct (i.e., receive an attrition code of "A" or "K" respectively). While DAU will provide information relative to the student's performance, DAU will NOT make recommendations or render opinions regarding the pursuit of adverse administrative procedures, disciplinary actions against a student, nor the student's potential for future service.

Student Inquiries, Complaint/Grievance Procedures

1. <u>Student Inquiries</u>. Students can contact the DAU Help Desk via email or via a toll free number Monday through Friday (excluding Federal Holidays) for assistance or questions regarding any aspect of student academic policies as well as general questions regarding information published on the DAU Web site, DAU operating procedures, and acquisition career field certification. Help Desk contact information is published on the DAU Web site at: http://www.dau.mil/aboutDAU/Pages/contactus.aspx.

a. The DAU Help Desk will triage initial student inquiries and if unable to answer the question or resolve the issue directly, will seek appropriate assistance within the University. If the inquiry involves a course exam issue or a course extension beyond the one-time 14-day extension as outlined in Attachment 3, the Help Desk will provide the student with the assigned instructors contact information.

b. Under normal circumstances, when a student makes an inquiry to the DAU Help Desk or to their assigned course instructor, the student's inquiry will be acknowledged with a response back to the student within two (2) business days.

2. <u>Student Complaints and Grievances</u>. Most student complaints or grievances can be resolved informally simply by discussing the matter with the course lead instructor. However, students do have the right to file a formal written complaint/grievance with the DAU if they believe an inequity exists or there is a problem they believe needs to be addressed by the University and/or its staff and faculty.

3. <u>Resolution Authority</u>. Complaints are handled and resolved at the campus level. While it is desirable that complaints are handled at the lowest level possible (i.e., the assigned lead instructor for a course), that is not always possible. Accordingly, complaints typically will be handled in the following order:

- Lead Instructor for a course;
- Department Chair within the region or college;
- Regional or college Associate Dean for Academics; and
- Regional or college Dean as the decision authority.

4. <u>Process for Formal Student Complaints/Grievances</u>

a. When a student has a complaint that cannot be resolved by or through the course lead instructor, the instructor will provide the student with the contact information for the Department Chair at the campus so the student can file a formal complaint.

b. In responding to a student complaint, the respondent will include a copy of the student's complaint, provide an appropriate response and include the contact information of the next higher authority if the response is not satisfactory.

c. The decision of the regional or college Dean is final except as noted in paragraph 4, below. When a failure determination has been made or when a student is dropped for a violation of the Standards of Conduct due to an Academic Integrity violation, disruptive classroom behavior or

excessive unexcused absence, the student may appeal the decision of the regional or college Dean by petitioning the University Vice President.

d. Except when petitioning the University Vice President, the student will be provided three (3) business days to elevate or appeal a complaint with the region or college.

e. When a complaint or grievance is resolved, a copy of the complaint or grievance and a copy of the resolution must be forwarded to the Center for Scheduling and Student Support (CSSS) at DAU Headquarters, Performance and Resource Management. File copies will be retained as outlined in the student records retention paragraph of Attachment 12.

5. Review/Appeal. Students may seek a review and/or appeal by petitioning the Vice President of the University:

- When, as a result of a violation of the Standards of Conduct, the regional or college Dean imposes an attrition code of "A" (Comprehension/Academic Failure) or imposes an attrition code of "K" (Discipline/Misconduct); or

- The student receives an attrition code of "A" (Comprehension/Academic Failure) as a direct result of failing to meet mastery criteria and the student is challenging one or more assessments that, if successfully challenged would result in a successful course completion.

6. <u>Petitioning (make an appeal to) the University Vice President</u>

a. In making an appeal to the University Vice President, the student may:

- Address reasons why the student believes the procedures followed were improper or unfair;
- Assert that additional, relevant evidence has become available; or
- Contest the facts (evidence) on which the Dean's findings were made.

b. The student must provide supporting evidence.

c. <u>In all cases, the petition must be made within 14 calendar days of the regional or college Dean's decision</u>.

d. Upon hearing the appeal of the student, and in consideration of the findings and recommendations of the Dean, the Vice President may overturn, amend, or affirm the decision. In the case of military personnel, this action may include referral to that student's military commander for further adjudication.

e. The DAU General Counsel will act as an advisor to the regional or college Deans and the Vice President in the review/appeal process.

f. The decision of the Vice President is final and will be provided in writing to the student, the student's supervisor, and the student's Defense Acquisition Career Manager. Any student who has exhausted the DAU appeal process and feels their issue is not satisfactorily resolved may contact the DAU accrediting body, the:

Council on Occupational Education (COE)
7840 Roswell Road
Building 300, Suite 325
Atlanta, Georgia 30350
Telephone: (800) 917-2081

7. Complaints Involving Allegations of Discrimination/Sexual Harassment. Complaints involving discrimination and/or sexual harassment may be reported directly to the appropriate Equal Employment Opportunity/Equal Opportunity (EEO/EO) official servicing the campus.

8. Maintenance of Student Complaint/Grievance Records.

a. When resolved at the Vice President level, the Office of the President will provide a copy of complaints/grievances and the associated accompanying resolutions to the CSSS and the Associate Dean for Academics at the relevant region or college.

b. A file copy of all Student Complaints/Grievances and the accompanying resolution will be maintained as outlined in Attachment 12.