

**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 are 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:

<https://www.dau.mil/mil/training/p/student-policies-info>.

- 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 at California, MD
- DAU South located at Huntsville, AL
- DAU Midwest located at Kettering, OH
- DAU West located at San Diego, CA

Colleges:

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

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

a. Director, Foundational Learning Directorate (FLD):

(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 FLD 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 with this directive to assigned faculty and staff.

JOHNSON.JOSEPH. Digitally signed by
EDWIN.1179559710 JOHNSON.JOSEPH.EDWIN.1179559710
Date: 2018.12.12 08:03:35 -05'00'

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.* If the student's tardiness exceeds five (5) percent of instructional time, the student will not be allowed to remain in the class and will receive a "No Show" status. As such, students should plan ahead and consider 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. Students must report to class if they are in an enrolled/reservation status. Failure to do so will result in receiving a "No Show" status. Sending an email to a DAU instructor or staff member stating that the student will be unable to attend a class does not constitute a drop or cancellation from the class. If the student can no longer attend a class, the student must submit a request for cancellation through their registration site. To avoid a "No Show" status, the cancellation request must be processed prior to the class start date. Cancellation requests can take up to one week to process, and untimely cancellation requests may result in receiving a "No Show" status.

c. Departure. Traveling students must arrange their departure so that they stay 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 personal illness or urgent family matters. However, the following situations are NOT considered valid excuses:

- Work-related requirements
- Need to meet car or van pool (e.g. family, friend, or professional service)
- Travel arrangements that require departing before course graduation
- Other personal or business-related appointments or commitments

(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 the student self-withdraw from the class and take it at a future time when personal or 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 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*.

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b. An absence DOES NOT relieve the student of completing ALL course requirements. Absences will adversely affect a student's successful completion of learning events in courses where participation is required. 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 will advise students in advance. Students will not be provided an opportunity to make up missed work for any unexcused absences.

c. Students are responsible for reporting all excused and unexcused absences taken during a course offering to their employing organization/personnel office as appropriate.

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

3. In-class Behavior. Students are expected to behave professionally at all times. This includes, but is not limited to the following:

a. Paying attention and *participating in all class activities*. (Instructors will do their best to be sympathetic and supportive of students who use moderate, non-disruptive 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 showing courtesy when interacting with faculty, guests, and other students.

c. Arriving on time, returning promptly from breaks (including lunch), 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 for class purposes (including taking notes) 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 guidelines regarding electronic device use during examinations.

f. Ensuring the proper safeguarding of controlled technical information (CTI).

4. Student Attire. Students are required to adhere to DAU standards for student attire when attending DAU courses at all DAU facilities as set forth in the following paragraphs.

a. Students are expected to follow the prescribed DAU dress code even if it differs from their organizational dress code. 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,

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and dress shoes/loafers for men and equivalent attire for women. Shorts, flip-flops, athletic shoes, strapless tops and dresses, excessively short or sheer garments, midriff-baring tops, jeans, and athletic wear of any kind are examples of inappropriate attire. Additionally, chewing or snuffing tobacco is not permitted during class. The Associate Dean for Academics for each campus or college may specify exceptions in support of a specific class event or if the student provides medical documentation requiring alternate attire. Collective bargaining agreements (CBA) in place at student's home locations do not apply to DAU or at DAU facilities.

b. All students are expected to be clean and well-groomed. Additionally, because strong or heavy colognes and perfumes can be a distraction in class and cause allergic reactions in other students, students should apply fragrances appropriately and considerately.

c. Students inappropriately dressed may be warned once, and with student supervisor notification, may be dismissed from class after repeated occurrences.

d. If any DAU courses are conducted at customer sites, attire standards of the local command or organization may prevail.

5. Possession of Firearms and Other Dangerous Weapons. A Federal criminal statute (18 U.S.C. Section 930) makes it a felony "to possess or cause to be present" any firearm or other dangerous weapon in a Federal facility, including those owned or rented by the Federal government. This applies to all DAU facilities. Accordingly, students (other than authorized law enforcement personnel) are not permitted to possess any firearm or other dangerous weapon while attending a DAU course regardless of location. (Note: State or local authorizations to carry firearms, open or concealed, do not apply to Federal facilities.) Students found to be in violation of this will be denied entry into the class. A student who fails to comply or tries to bring a weapon into a DAU facility after being warned will be removed from the course and assigned an attrition code of "K" for Disciplinary/Misconduct. DAU will also refer a violating student to the student's employing agency for disciplinary action, which may include criminal prosecution under 18 U.S.C. 930.

6. 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 also in all university relationships and interactions connected to the educational process, including the use of university resources.

a. A DAU student's submission of work for academic credit indicates that the work is the student's own unless the work is designed as a team effort. The student must properly acknowledge outside assistance and citations and truthfully report the academic position at all times. Additionally, DAU students ought to expect academic integrity from each of their peers. As such, students shall not:

- Misrepresent their work;
- Fraudulently or unfairly advance their academic position;

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- 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 Student Academic Policy violations (all participants are subject to consequential actions):

- 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
- Using electronic devices to access information during examinations or assessments without authorization.

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. Using a computer and network system shared by many users imposes certain additional obligations. Although computer and network systems have built-in rules, such restrictions cannot eliminate the opportunity for perusal of the work or resources of others. 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;

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- Ownership of proprietary software (i.e. making or using unauthorized copies of such software, even when that software is not protected against copyright);
- 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.

7. 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. To protect and maintain this academic freedom, DAU maintains a non-attribution policy. This policy allows 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. Although the academic freedom policy governs the content of discussion, the discussion must be conducted in a professional and respectful manner at all times. Individuals may debate policy issues while exercising good judgment and self-control to avoid acrimonious discussion, including anything that could reasonably be construed to be derogatory toward personnel in the chain of command.

b. DAU media will be used only for instructional purposes unless the speaker(s) or participant(s) grant specific written permission for other uses.

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(s). Additionally, DAU does not allow students to create audio or video recordings except on a case-by-case basis as authorized by the Associate Dean for Academics or Center for Scheduling and Student Support (CSSS). Such an exception could be granted when an audio or video recording may be necessary to provide a reasonable accommodation to a student with a verified disability or if a course has a class segment on media relations and the segment includes videotaping students conducting mock interviews for subsequent in-class playback and critique. The class will also be informed whenever all or part of a class will be taped.

Violations of the Standards of Conduct

1. Jurisdiction and Penalties. The deciding 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. Responsibility for Reporting. Students and staff members who discover an apparent violation should report the matter to the course lead instructor or the Dean's office as soon as possible.

3. Procedure for Reported Violations. Upon learning of a violation, the Dean may open an initial investigation of the circumstances if deemed necessary. 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. The Dean has the authority to:

- Direct remedial coursework (normally reserved for inadvertent violations of standards); or
- 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/unexcused 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 will be directed to return to their normal place of duty.

c. If the action proposed by the Dean imposes an attrition code of "K" for violating the Standards of Conduct associated with Academic Integrity, disruptive classroom behavior, or excessive/unexcused absences, a copy of the decision letter will be provided to:

- The student;
- The student's supervisor of record;
- The appropriate DACM; and
- The Center for Scheduling and Student Support (CSSS).

d. Students with an attrition code of "K" are not eligible to register for a DAU course for a period of one (1) year from the date the student was suspended. Furthermore, all current online training (OLT) enrollments will be suspended and future enrollments in instructor led training will be cancelled by the students Agency/Component Director of Acquisition Career Management. With the written concurrence of the student's supervisor, the student may initiate a request for a variance within that time, subject to the approval of the military Service or component DACM concerned.

Violations of the Standards of Conduct

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. Online Training Courses (OLT)

a. Enrollment. Generally enrollment in DAU OLT courses is restricted to U.S. federal employees, defense industry, North Atlantic Treaty Organization (NATO) students, select foreign nationals, and personnel associated with Foreign Military Sales (FMS) training packages.

(1) U.S. citizens and International partners may request a log on for the DAU Learning Management System (LMS) at <https://www.dau.mil/faq/documents/createdastudentaccount.pdf>. Once this category of student has access to the LMS, they may enroll in OLT courses.

b. Extensions. Once enrolled, there is no time limit to complete the OLT course. The student will have access to the course until such time that the course is retired (made unavailable). When that occurs, students will be notified of the pending retirement date in order to provide time for the student to complete the course. Those that fail to complete the course will be assigned an attrition code of “Z” for other.

2. Instructor Led/Virtual Instructor Led Training (ILT/VILT)

a. Enrollment. Like OLT courses enrollment in DAU ILT /VILT courses is restricted as outlined in paragraph 1.a. above. All enrollment requests for ILT and VILT courses are assigned a priority code. The priority codes are outlined in paragraph three below. Enrollment responsibilities/information based on the type of student is outlined below.

(1) 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 and 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 <https://www.dau.mil/training>.

(2) 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 the DAU Web site at <https://www.dau.mil/training>.

(3) Foreign Nationals. Military and civilian employees of a foreign government must apply for DAU courses through their country’s training officer. That officer 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), 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.

Course Enrollment, Extensions, and Walk-Ins

(a) 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 connect the student with appropriate NATO training officials to process and coordinate the training request.

(b) 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.

3. Priority of Enrollment. The following priorities apply for attendance in DAU Instructor Led/Virtual Instructor Led Training (ILT/VILT) courses:

- Priority 1: Defense Acquisition Workforce members required to 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 or 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 required to meet their unique needs.
- Priority 9: All others. This includes industry and other government agencies.

4. Walk-ins for ILT courses. 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. Students on the wait list 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 2 students on the wait list
- 3rd Priority 3 students on the wait list
- 4th Priority 4 students on the wait list
- 5th Priority 9 students on the wait list

b. Non-wait list Students. Students NOT on the wait list will be considered AFTER wait list students. Preference will be given to Priority 1-9 students not on the wait list as listed in paragraph 5.a. above assuming the student can demonstrate their priority by presenting documentation such as a copy or screen shot of their acquisition training record from their component system that identifies them, their acquisition career field and level required.

Course Enrollment, Extensions, and Walk-Ins

Students are urged to get on the course wait list before attempting to secure a seat as a walk-in.

c. All walk-in students must present appropriate Government Issued 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 necessary course prerequisites. If the course has pre-work requirements and walk-ins are authorized as annotated on the course concept card in the iCatalog, the student may be refused entry if the pre-work is not complete and presented on or before the start of the course, regardless of whether or not the student is on the wait list.

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. *The supporting campus student services representative with ATRRS access is responsible for providing the lead instructor of the course a copy of the wait list not later than 30 minutes before the start of the course.* The designated campus student services representative will access the student's priority by going into ATRRS and then following local campus procedures for advising the lead instructor.

Disenrollment, Dropping a Course, and Wait Lists

1. **Online Training Courses (OLT)**. In Cornerstone, DAU's Learning Management System (LMS), enrollment is immediate and there are no wait lists nor is there a disenrollment or drop functionality. Once enrolled, the student has until the course is tagged for retirement to complete the course.

2. **Instructor Led/Virtual Instructor Led Training (ILT/VILT)**

a. Background. Course disenrollment, sometimes referred to as a cancellation or student cancellation, is an action taken with a registered student prior to the commencement (start) of a course, whereas dropping or withdrawing from a course is an action taken with a student once the course has commenced. The course commencement date is the published start date of the course regardless of whether or not the course has pre-course work requirements. Wait lists students are students who have been properly registered but not enrolled (do not have a seat reservation) in the course. If seats are available, students on the wait list automatically will be enrolled in the course with seat a reservation and a notification of enrollment will be sent via e-mail up to 65 days before the start of a course. If students were on multiple wait lists for the same course, they automatically will be removed from the other future wait list enrollment requests.

b. Disenrollment or Enrollment (Student) Cancellation. Before the commencement of an ILT/VILT course, the student's component or agency Director, Acquisition Career Management (DACM) is responsible for coordinating and executing disenrollment functions (student cancellations). For other Federal employees, that responsibility lies with the Federal Acquisition Institute (FAI). DAU will take action to support the cancellations of registered industry students. *Students are responsible for contacting their appropriate representative.* DAU instructors/staff cannot process students' cancellation requests from a class. Students must submit a request for cancellation through their appropriate registration site. The cancellation request must be processed before the class start date. Cancellation requests can take up to one week to process. Access to the DoD component/agency and FAI registration systems is provided through the DAU Web site at <https://www.dau.mil/training/p/apply-for-a-course>.

c. Dropping or Withdrawing from a Course

(1) *While engaged in instruction at DAU, students remain under the administrative and operational control of their parent organization.* Accordingly, DAU will not initiate or modify travel orders for students, and students are responsible for returning to their place of duty or where directed by their parent organization. An appropriate DAU campus representative 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" is used when the student's parent organization has notified DAU that the student is to be dropped and returned to the 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.

Disenrollment, Dropping a Course, and Wait Lists

b Medical Emergency or Illness. Attrition Code “O” is used should illness or a personal medical circumstance render the student 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 necessary.

c Emergency Leave. Attrition Code “I” is used should a family or personal situation arise that necessitates the student leaving. 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 necessary.

d Voluntary Drop (Withdraw) from Course. Attrition Code “)” is used for reasons other than stated above and the student wishes to drop or withdraw from a course. The student may do so after receiving approval from their parent organization and presenting such approval to the lead instructor before 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 the student has failed to achieve mastery criteria for a course at the time of withdrawal and it is determined that the student **CANNOT** achieve the mastery criteria for the course regardless of performance on remaining course assignments, 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” for 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.

d. Wait List Removal

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

(2) While the student is on a wait list, the student’s component or agency DACM is responsible for coordinating and executing a wait list removal. For other Federal employees the responsibility lies with FAI. DAU will take action to support the cancellations of registered industry students, but the student is responsible for contacting their appropriate representative.

Disenrollment, Dropping a Course, and Wait Lists

Access to the DoD component/agency and FAI registration systems is provided through the DAU Web site at <https://www.dau.mil/training>.

3. 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:

- Are “No Show” for 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.

Prerequisite/Pre-course, Course Work Requirements and Hours

1. Background. To develop a comprehensive curriculum that (1) meets the needs of the Defense Acquisition Workforce, (2) complies with accreditation standards, (3) is within available resources, and (4) promotes learning, DAU builds frequently upon the knowledge and skills gained from other DAU courses in the curriculum. Accordingly, DAU has established course prerequisite requirements for many training courses that must be met in order to register for a course. Students are not only required to meet course prerequisite requirements but also 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 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 take different forms such as specified DAU coursework, individual grade/position requirements, or work experience requirements. Requirements other than coursework will be noted on course concept card and are intended to refine the target group and optimize the outcomes for the student.

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 1) completing the designated DAU course; 2) completing an approved equivalent course ([acceptable equivalent courses](#) are listed online in the DAU [iCatalog](#)); or 3) by the student’s component determining that the student has fulfilled the requirements of the prerequisite course by assessing the student’s previous education and training experiences against the prerequisite course learning outcomes. *Please 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](#).*

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

Prerequisite/Pre-course, Course Work Requirements and Hours

who do not provide appropriate documentation will not be admitted to the course. Appropriate documentation includes the following:

- The student's DAU transcript;
- 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 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 an 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](#) before approving a registration.*

d. *Prerequisite requirements for 400-level DAU courses (400-level course prerequisites, grade, position, or work experience requirements) may NOT be waived for attending 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 Requirements.** Many instructor led training (ILT) courses have pre-course work requirements to facilitate the effective delivery of the course material. These requirements will be articulated to the student either upon enrollment or when the student logs on to DAU Blackboard per instruction in the enrollment notice. Students are expected to complete all pre-course requirements prior to attending the offering.

a. Most pre-course work requirements are assessed activities that will affect the student's ability to achieve mastery criteria for a course. Pre-course work requirements may account for as

Prerequisite/Pre-course, Course Work Requirements and Hours

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.

b. Students should review the course concept card in the iCatalog before planning to secure a seat through the walk-in process. Students will be refused entry for courses that state "Pre-work required/Walk-ins NOT authorized". For courses that state "Pre-work required/Walk-ins authorized," students are responsible for completing the pre-work requirement before attempting to walk-in. Failure to do so may result in being refused entry to the course.

7. Course Work Requirements and Hours

a. As a complement to the standards of conduct outlined in attachment (1) and the mastery standards outlined in attachment (7), students are expected to complete ALL course requirements to graduate the course.

b. ILT courses typically meet for up to 8 hours a day. This does not include time for lunch and other breaks in the schedule. Many courses have out of class activities (homework) that must be completed on the student's own time to successfully master a course. Homework is not considered part of the normal training day and is not a justification for requesting overtime pay (premium pay). *Premium pay for time spent in training is generally prohibited by Federal regulation. 5 CFR § 410.402(a) specifies that "an agency may not use its funds, appropriated or otherwise available, to pay premium pay to an employee engaged in training by, in or through Government or non-government facilities." There are a few exceptions for extraordinary circumstances that generally do not pertain to DAU courses or students. This prohibition does not restrict a student's employing agency, at its discretion, from allowing travel compensatory time for extra hours spent traveling to or from a training site.*

c. While overtime is not permitted for training activities, some agencies may agree to provide compensatory time or credit hours for time spent studying/preparing for DAU classes that extends beyond the normal duty day. Such decisions are entirely at the discretion of the students' parent agency for both ILT and online training (OLT) courses. DAU has no authority to authorize or recommend compensatory time or credit hours for students that are not DAU employees.

d. OLT courses and pre-course work requirements are intended to be completed during normal work hours at the student's place of work. The expected time to complete any particular OLT course is a reflection of the continuous learning points assigned to the course where one point equals one hour. The points are calculated following the protocols established by the American National Standards Institute/International Association of Continuing Education and Training (ANSI/IACET) and may or may not reflect the time required by an individual student.

Prerequisite/Pre-course, Course Work Requirements and Hours

8. Responsibilities

a. Director, Foundational Learning Directorate (FLD); 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 that 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 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 not on the wait list for meeting course prerequisites. Students who cannot show documentation that supports their successful completion of a DAU prerequisite course, an equivalent course 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 before 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. Background. DAU does not directly provide funding to students for travel and per diem expenses. However, DAU allocates funding to each of the components and agencies to assist with student travel expenses. Funding is to be used for Priority 1 students and on a funds available basis for Priority 2 students. All other funding requirements are the responsibility of the student's parent organization.

2. Responsibilities for Student Travel, Per Diem, and Reimbursement

a. Each component and agency Defense 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 Defense 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. Except for DAU employees, DAU does NOT process travel claims or provide advance per diem payments. Students should know the name and telephone number of the government credit card program coordinator for their Service or organization so they know 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 to meet or exceed certification, 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, instructor led training (ILT) in the classroom and virtually (VILT), asynchronous online training (OLT) courses, and hybrids. Because of the diversity of the DAU curricula levels and delivery modes and tools, student learning assessments will be equally diverse.

b. From an institutional perspective, and 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 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) 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 instructor led and online courses, the standards are as follows:

(1) Instructor Led/Virtual Instructor Led (ILT/VILT) Courses. Mastery is achieving an aggregate score of 80 percent or higher on the cumulative assessments or required coursework. These standards as well as student assessment methods will be discussed on the first day of class and provided to the student in writing.

(2) Online Training (OLT) Courses. The mastery standard is 80 percent on each exam in the course.

(3) Students who achieve the mastery standards and successfully complete the course requirements will graduate from the course. The course completion will be displayed on the student's official DAU transcript.

Student Assessment and Evaluation

b. Failing to Achieve Mastery Standards

(1) **ILT/VILT 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 of Academics. If a student does not contest a failing grade or a failing grade is upheld after review of graded exercises, 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. PRM Center for Scheduling and Student Support will maintain a copy of the letter.

(a) If, 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 before graduation, the student may be retained in the course if that is the desire of both the student and the student’s parent organization. For these students, following actions will occur:

1 The course lead instructor will notify the student and inquire about the student’s desire to continue in the course.

2 The student will seek guidance about whether to return to the 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 the place of duty. Written authorization can be in the form of an e-mail addressed to the course lead instructor from the student’s supervisor or other appropriate organizational official. A student returning home will not participate in any further course activities, and a student being retained will continue to participate in all activities and assessments.

3 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) **OLT Courses.** *The student will have three (3) opportunities for achieving 80 percent on each exam.* Students are strongly encouraged to seek assistance from the assigned faculty before making a third attempt. Students who fail the third test attempt will be required to repeat the course from the beginning. There is no reenrollment requirement.

(a) If a students who fail to achieve mastery standards on the final (third) exam attempt, the student may contest the failure by initiating a test item challenge if they believe the failure was due to a “bad” test question or the course material does not support the test question. Procedures for initiating a test item challenge are outlined in Attachment 11, *Test Item Challenge Policy and Procedures*.

Student Assessment and Evaluation

c. Course Student Assessment Plan (CSAP). Each course will have a CSAP consisting of the Individual Objectives and their Assessment Plan (IOAP), the Student Assessment Strategy and a listing of the assessment instruments and/or requirements all of which are part of the course Plan of Instruction (POI). At a minimum, the CSAP outlines the following:

- Student Assessment Strategy;
- Course Outcomes (terminal learning 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, including 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. 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, Foundational Learning Directorate (FLD); 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. Learning Directors and Course Managers. 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 gradebook for recording student progress consistent with the course CSAP.

d. Instructional Faculty. The Lead Instructor for an ILT/VILT course will ensure that:

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

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

(3) Students receive proper feedback related to the assessed learning event in a timely manner.

(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 before 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. Attrition Codes. 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	
		Instructor Led Courses	Online Courses
A	Comprehension/Academic Failure	Yes	Yes
I	Emergency Leave	Yes	No
J	Medical and/or Illness	Yes	No
K	Disciplinary/Misconduct	Yes	Yes
N	Unit Recall	Yes	No
)	Voluntary Drop From Course	Yes	Yes
Z	Other	Yes	Yes

2. Attrition Code Explanations

a. Comprehension/Academic Failure “A”.

(1) Used when a student either fails to achieve the master criteria for a course or is determined at any time during a course that regardless of performance on the remaining course assessments, the student **CANNOT** 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 Emergency or Illness “J”. Used when a student must drop a course due to personal illness or medical circumstances 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, the “K” may be used in the following situations:

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

(2) Excessive/unexcused absence(s) 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 voluntarily drops a course other than aforementioned 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*.

g. Other “Z”. Used to close out students' record due to inclement weather or other circumstances that do not fit into the attrition codes of A; I; J; K; N; or). The use of the "Other" attrition code require approval from the Headquarters Scheduling and Student Support Office.

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. Policy

a. DAU will attempt to provide reasonable accommodations and change a procedure or the physical environment when necessary for a legitimate medical or mental disability. DAU's Student Services may ask for documentation from a medical or health care professional competent in the appropriate field (i.e. a chiropractor can't diagnose a learning disability) to establish legitimacy of the disability.

b. DAU will also seek to provide necessary assistance to students with other special needs whose condition does not rise to a disability (e.g. sprained or broken limb, pregnancy, or pumping breast milk). *DAU is best able to accommodate special circumstances when the student submits an accommodation or special needs request in the automated registration system while registering for a course.*

c. If no request is identified during the registration process or in cases of insufficient time to respond, then DAU may not be able to 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 guaranteed in every case.

d. DAU does not provide personal tutors or assistants (before, during and after class) for students with documented medical disabilities attending classroom classes. Accommodations of that sort are the responsibility and cost of the employing agency.

2. Responsibilities

a. DAU is not responsible for reasonable accommodations necessary to facilitate student travel or assisting a student with continuous personal hygiene needs while attending a DAU course. Accommodations of that sort are the responsibility of the employing agency.

b. Instructor Led Training Courses

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

(2) Learning Disabilities. The campus Associate Dean for Academics will work with the instructor to consider and make appropriate accommodations for students with documented learning disabilities. If a student has a documented learning disability but the documentation does not describe the accommodations that may be necessary, DAU may require the student to provide additional documentation or other verification to the Regional Student Services representative or the Center for Scheduling and Student Support (CSSS) that a particular accommodation is necessary. The student's supervisor can then confirm the accommodation.

Accommodating Students with Disabilities

c. Online Training Courses. The student is responsible for advising the DAU Help Desk if an impairment impedes access to the courseware online.

d. Component/Agency Hosted (On-Site). The CSSS or the Regional Student Services representative will notify the hosting agency of students requiring special accommodations. The hosting agency is responsible for working with DAU CSSS to coordinate the arrangement of appropriate accommodations. If required, DAU's Performance and Resource Management will provide necessary funding.

e. Students with non-disabling special needs. Students with non-disabling special needs should disclose that to DAU during the registration process. If a special need arises subsequent to registration, students should contact DAU at the earliest opportunity to request assistance. Although 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. **Background.** 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. **Policy.** The certification programs that are 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 and 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 course (via the approved course registration system); 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 before 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 (e.g. 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 the materials and standards adequately address the entire DAU course learning outcomes for a selected DAU course. **The organization providing that instruction is responsible for requesting equivalency.** Without further assessment of the student, DAU will accept 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

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

for a fulfillment request on a DD Form 2518. DoD components and agencies assess the student's past training 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. The acquisition workforce member's component or agency is responsible for implementing 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) where the instructor contact hours has been determined to be 10 or more hours, i.e., where the continuous learning points (CLPs) assigned are equal to or greater than 10.**

d. Detailed information and guidelines for the Equivalency and Fulfillment Programs are outlined on the DAU iCatalog at http://icatalog.dau.mil/student_info_H.asp.

Test Item Challenge Policy and Procedures

1. Background. The test item challenge policy applies only to Online Training (OLT) courses. As outlined in the Student Assessment and Evaluations attachment, students who fail to achieve mastery standards for an OLT course (e.g. fail a test for the third time) may contest the failure by initiating a test item challenge if they believe the failure was because of a “bad” test question or the course material does not support the test question.

2. Policy

a. Students who fail to achieve the OLT mastery standards outlined in Attachment 7, *Student Assessment and Evaluation*, will be automatically restarted at the beginning of the course unless one of the following two conditions exists:

a. DAU System Failure. When there has been a DAU system(s) failure and it has been substantiated that it caused a student(s) to fail an exam, the affected student(s) may have the last exam manually passed so the student may complete or move forward in the course. Since DAU systems are beyond the student’s control. This condition does not apply when a student hits the wrong key or experiences some other failure such as a power outage etc.

b. Approved Test Item 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 Manager), the student will be manually passed for the exam in question.

c. Final approval of the above conditions rest with the Director, Foundational Learning Directorate (FLD).

3. Procedures for a DAU System Failure

a. Outside of a general systems failure such as the DAU Learning Management System (LMS) going down, minor technical malfunctions in the LMS could affect the grading system such as the student responding correctly to a question but not receiving credit.

(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, the student or member must 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 an exam manual pass due to a DAU systems failure.

(Describe what you believe the issues to be causing you or the student to fail a course)

Test Item Challenge Policy and Procedures

If validated, the manual pass is for:

Student Name: *(Student Name)*

Student ID: (DAUID)

Course: *(Course ID such as ACQ101)*

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) Should a student notify a DAU staff or faculty member of a DAU systems failure that adversely affects a student's progress in an OLT 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, e.g. the exam attempt is incorrectly scored, the DAU Help Desk validates the problem, creates a trouble ticket, and sends information to FLD (appropriate representative in the Integrated Learning Environment Center such as the ILE Help Desk). The student's course record will be reviewed, and upon verification, the student will be manually passed (moved forward) in the course. When an ILE Help Desk representative updates the student's course record, an email will be automatically generated back to the student.

4. Procedures for a Test Item Challenge

a. If a student fails the third test attempt but has a reason why a test question is bad or why course material does not support the question, the student may initiate a test item challenge.

(1) The course manager handles all test item challenges.

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

From: *(Student)*

To: DAUHelp

Subj: TEST ITEM CHALLENGE

I am initiating a test item challenge, and if approved, request that I be manually passed (moved forward) in the course. The below information is provided:

Student Name: *(Student Name)*

Student ID: (DAUID)

Course: *(Course ID such as ACQ101)*

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

Justification: (Describe what you believe the issues to be causing you to fail a course)

Test Item Challenge Policy and Procedures

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

/s/

(3) Upon notification of a test item challenge, the DAU Help Desk will direct the student to the assigned course manager for assistance.

b. Course Manager's (CM) Decision

(1) If the CM determines that the student's rationale is not supported, the CM responds back to the student with an explanation.

(2) If the CM concurs with the students' claim that the test question is bad or the content of the course does not support the question, the CM sends an e-mail to the DAU Help Desk (see below), recommending the Help Desk manually pass the student. The CM's email must fully explain why the CM concurs with the student. Since this presumes a change is needed to either the test bank or content, the Help Desk immediately elevates this to a Tier 2 ticket for final disposition.

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

It appears that Please manually pass the exam for the student below.

Student Name: *(Student Name)*
Course: *(Course ID such as ACQ101)*
Exam: *(Identify the exam at issue such as Lesson 2 Test)*

(3) ILE Help Desk requests of this nature are disposed of by the Director, Foundational Learning Directorate (FLD). After the Director, FLD or his designee makes a decision regarding the CM's findings, an e-mail will be sent to the ILE Help Desk with a copy to the Director, Integrated Learning Systems, CM, Learning Director (LD) and Center Director approving or disapproving the CM's request.

(a) If approved:

1 ILE Help Desk manually move a student forward and generates an appropriate email back to the student with a copy to the CM and LD.

2 The CM and LD takes an action to correct the test question or content as appropriate. This may include: notifying ILE_Help to disable the bad question in the DAU Learning Management System; and/or updating the question; or replacing the question. In all of these cases, the test bank documentation in DAU Blackboard must also be updated by the CM.

(b) If not approved, ILE Help Desk generates an appropriate email back to the student with a copy to the CM. No further action is required.

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

1. **Transcripts.** 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 because the school or provider may either no longer exist or may not be required to maintain student information.

a. Student transcripts are available upon request on the DAU website at <https://www.atrrs.army.mil/channels/dautranscript/default.asp>.

b. DAU will only accept a student's transcript request through the secure website noted above.

c. Student transcripts will display only those DAU courses that 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*.

d. DAU transcripts record DAU course completions, completion date(s), associated American Council on Education (ACE) recommended semester credits, Continuous Education Units (CEU), Continuous Learning Points (CLP), and Reserve Retirement Points (RRP). Note: RRP's are only awarded to DAU online courses.

e. Students may request any missing DAU course completions be added to the Transcript by sending an email to scheduling@dau.mil. Students must include a copy of the DAU-issued course completion certificate. Other documents not issued or maintained by DAU such as ACRB or any transcript(s) maintained by a DoD Agency cannot be used as source documentation for updating or adding a DAU course completion to the DAU transcript. DAU cannot update the transcript with DAU equivalent courses that were completed through an equivalent provider. Students need to submit a request through their appropriate Defense Acquisition Career Management office to obtain credit for completing a course through an equivalent provider.

(1) DAU does not republish course completion certificates for courses completed prior to FY09. For courses completed from FY09 to present, students may download a copy of their course completion certificate from the DAU Learning Management System by logging into <https://identity.dau.mil/EmpowerIDWebIdPForms/Login/VirtualCampus>.

f. DAU will not be able to update or add courses completed older than 5 years from the current Fiscal Year that are missing from the DAU Transcript because of the system limitations.

g. Students may submit requests to DAU by sending an email to scheduling@dau.mil if the CEUs or CLPs are missing or incorrect on the DAU transcript. The DAU transcript is the official source document for CEUs or CLPs awarded for DAU course completions.

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

h. Students may submit requests to update or add course completion through the DAU Equivalency program or completion of DAU Fulfillment Program to their Service component. DAU cannot update information reflected in Section III DAU Courses Credited by Completing an Equivalent Course and Section IV DAU Courses Credited Through Fulfillment.

i. Information about ACE credit can be found at <https://www.dau.mil/training/p/student-policies-info>. Students may visit the ACE website to review ACE credits for DAU course completion at <http://www2.acenet.edu/credit/?fuseaction=browse.getOrganizationDetail&FICE=1000319> To receive the recommended ACE credit, students must complete the course(s) during the period specified. If a DAU course is not listed, this means that ACE has not reviewed or approved the course for semester credit hours.

j. Students are strongly encouraged to log in to <https://www.atrrs.army.mil/channels/dautranscript/default.asp> and review their DAU transcript two weeks after completing a DAU course and report missing course completions to DAU by sending an email to scheduling@dau.mil immediately. Delaying a report of missing DAU course completions from the DAU Transcript, may result in the completions not being added because of system limitations.

2. Student Records and Student File Retention. *Student information* (data and records) is divided into two types: (1) 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 (2) those that pertain to academic performance (training records). Some student data elements will reside in both types of records in order to identify the student and collect data for aggregation purposes if required. *Student files*, on the other hand, consist of all digital 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 retained indefinitely 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 coursework such as student work products, exams, and grade book information.

(1) For online training courses (OLT), student work (exam performance) will be retained in the secure DAU learning management system and archived annually.

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

(2) For instructor led training courses, coursework not retained in Blackboard will be kept in the custody of the assigned instructor or appropriately secured in accordance with local procedures to preserve confidentiality and security and prevent unauthorized access, use, or destruction.

(3) After a successful course completion, student work products retained in Blackboard will be locked seven (7) days following graduation and archived annually. Student work products retained by the assigned instructor will be shredded. Course managers may identify in the instructor support package specific work products that, if returned, will not compromise the fair evaluation of future students and may be returned to the student.

(4) For students who fail to achieve mastery criteria (instructor led training courses (ILT/VILT) courses only), the students' training records will be retained and secured by the campus Associate Dean of Academics and/or DAU Blackboard for at least 60 days following the completion date of the course after which the coursework will be disposed of in accordance with local procedures. The University's learning management system will retain student data for OLT courses.

(5) Student class rosters are maintained for 2 years after the class ends.

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 of 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 of 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. 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."

(1) 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 because of a violation of the Standards of Conduct (i.e., receive an attrition code of "A" or "K" respectively). Although DAU will provide information related 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, or the student's potential for future service.

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

(2) Requests for student transcript information from a supervisor or other authorized non-student source must be for official purposes only. Such a request should be submitted through a signed email to DAU's Center for Scheduling and Student Support at scheduling@dau.mil. DAU's registrar may also share transcript information with authorized recipients on an official, need to know basis over the telephone. DAU may require supervisors or others seeking such information to send a signed email that verifies the requestor's identity and states that the transcript inquiry is for official purposes.

Student Inquiries, Complaint/Grievance Procedures

1. Student Inquiries. Students can contact the DAU Help Desk through email at DAUHelp@dau.mil or a toll-free at 866-568-6924 Monday through Friday (excluding Federal Holidays) for assistance or questions regarding student academic policies and any general questions regarding information published on the DAU website, DAU operating procedures, and acquisition career field certification.

a. The DAU Help Desk will triage initial student inquiries, and if unable to answer the question or resolve the issue directly, the Help Desk will seek appropriate assistance within the University. If the inquiry involves a course exam as outlined in Attachment 7, the Help Desk will provide the student with the assigned Course Managers (CM) contact information.

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

2. Student Complaints and Grievances. 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 or its staff and faculty.

3. Resolution Authority. 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:

- 1st Lead Instructor for a course
- 2nd Department Chair within the region or college
- 3rd Regional or college Associate Dean for Academics
- 4th Regional or college Dean as the decision authority

4. Process for Formal Student Complaints/Grievances

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. The student will be provided three (3) business days to elevate or appeal a complaint with the next higher level authority in the region or college.

b. When responding to a student complaint, the respondent will include a copy of the student's complaint, an appropriate response, and 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 5 (see below). When a failure determination has been made or when a student is dropped for a violation

Student Inquiries, Complaint/Grievance Procedures

of the Standards of Conduct because of an Academic Integrity violation, disruptive classroom behavior, or excessive unexcused absences, the student may appeal the decision of the regional or college Dean by petitioning the University Vice President.

d. 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 or appeal a complaint or grievance by petitioning the Vice President of the University in the below circumstances:

- When the regional or college Dean imposes an attrition code of “K” (Discipline/Misconduct) (violation of the Standards of Conduct should not be handled with Attrition Code A) 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. Petitioning the University Vice President

a. When 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. In all cases, the petition must be made within 14 calendar days of the regional or college Dean’s decision.

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. In the event the position of DAU Vice President is vacant or where the DAU Vice President is unavailable to decide the student appeal in a timely manner, the appeal shall be ruled upon by the DAU Chief of Staff acting in place of the Vice President. In such cases, the decision of the DAU Chief of Staff carries the same weight and finality as that of the DAU Vice President.

Student Inquiries, Complaint/Grievance Procedures

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 with the below contact information:

Council on Occupational Education (COE)
7840 Roswell Road
Building 300, Suite 325
Atlanta, GA30350
Telephone: (800) 917-2081

7. Complaints Involving Allegations of Discrimination/Sexual Harassment. DAU does not permit illegal discrimination or sexual harassment in any of its activities or locations. Students having complaints involving discrimination and/or sexual harassment are encouraged to present their complaint to any DAU instructor or official immediately. Students may also report discrimination or sexual harassment to the Equal Employment Opportunity/Equal Opportunity (EEO/EO) official servicing the campus. Because all EEO complaints involving conduct by DAU employees or officials are ultimately transferred to the Fort Belvoir Equal Employment Opportunity Office for disposition, students may find it easier to contact a Fort Belvoir EEO counselor directly by calling (703) 805-2006.

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.