STUDENT ACADEMIC AND ADMINISTRATIVE POLICIES AND PROCEDURES

1. CANCELLATION: 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 training.

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 Website at: https://www.dau.edu/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 Academic Affairs and/or Dean. Attachment 13, Student Inquiries, Complaint, and 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, Fort Belvoir, VA
   - DAU Mid-Atlantic, California, MD
   - DAU South, Huntsville, AL
   - DAU Midwest, Kettering, OH
   - DAU West, San Diego, CA

   **Colleges:**
   - Defense Systems Management College, Fort Belvoir, VA
   - College of Contract Management, Richmond, VA

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

   a. Director, Production, Coordination and Optimization (PCO):

      (1) Maintain staff cognizance of this directive by providing interpretive guidance as required and publish 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 PCO 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 Website at: https://www.dau.edu/.

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

Joseph E. Johnson  
Chief of Staff

Attachments: As stated
Student Standards of Conduct

1. Arrival and Departure

   a. Arrival for Instructor Led Training (ILT)/In-person. 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 training. Specific information such as training dates, hours, class location, and report time are provided in the welcome letter or email sent to each student before a class begins.

   b. Reporting in for Virtual Instructor Led Training (VILT). Students with a reservation status must report into class virtually in accordance with the instructions provided prior to the class start date. If the student failed to report into class or if the student reports into class late so that the 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 contact the instructor immediately by phone or email to let them know if they experience technical difficulty while attempting to report in virtually. If the technical issue cannot be resolved, students will be dropped from the class due to a “Technical Issue.” A welcome letter/email sent to each student before class commencement includes specific information such as training dates, in-class hours for each day, and report time.

   c. Attendance for ILT/In-person and VILT. Students must report to class if they are in an enrolled/reservation status. Failure to do so will result in 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 Service/Component 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.

   d. Departure for ILT/In-person. Traveling students must arrange their departure so that they stay through the scheduled class graduation.

2. Attendance/Absenteeism for ILT/In-person and VILT

   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 for such things as personal illness, longstanding medical appointments that are difficult to reschedule, 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 graduation
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- 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 Academic Affairs 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 “ZK” for Disciplinary/Misconduct regardless of student performance as noted in Attachment 8, Student Attrition Codes.

b. An absence DOES NOT relieve the student of completing ALL training requirements. Absences can adversely affect a student’s successful completion of learning events where participation is required. For excused absences, the student will coordinate with the lead instructor on how make-up assignments will be handled. Some training includes required activities that, if missed, lead to disenrollment. For this training, 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 training offering to their employing organization/personnel office as appropriate.

d. When a weather-related absence affects significant segments of the training, the instructor, the campus Associate Dean for Academic Affairs, or their designee will determine the appropriate course of action. Decisions can range from make-up work to rescheduling the offering.

3. In-class Behavior for ILT/In-person and VILT. 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).

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

c. Arriving/virtually reporting to class 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 and Decorum for ILT/In-person and VILT utilizing video.** Students are required to adhere to DAU standards for student attire when attending DAU trainings at all DAU facilities to include virtual classroom utilizing video 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 email, either civilian or military, may wear casual attire such as jeans, casual slacks or pants, collared shirts, blouses, and casual/athletic shoes. Inappropriate attire includes shorts, miniskirts, t-shirts, sheer clothes or those with bare shoulders (i.e. strapless tops) or bare abdomen, flip flops, jeans/pants with rips or tears, and athletic wear such as sweatpants. Clothing or personal items (such as hats, bags, mugs, cups) with displays of inappropriate or unprofessional language or graphics are also not allowed, nor items with commentary on religion, race, drug use, politics, gender, or sexual preference. The Associate Dean for Academic Affairs for each campus or college may specify exceptions in support of a specific event or if the student provides medical documentation requiring alternate attire. Collective bargaining agreements (CBA) in place at students’ 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-scented or heavily-applied colognes and perfumes can be a distraction in ILT and cause allergic reactions in others, should apply fragrances appropriately and considerately.

   c. Chewing or snuffing tobacco, or use of e-cigarettes, is not permitted and is prohibited in interior spaces of all federal facilities.

   d. Violation of the dress code may result in the student’s dismissal from class along with notification to the student’s supervisor.

   e. If any DAU training is 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 ILT 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. A student who fails to comply or tries to bring a weapon into a DAU facility after being warned will be removed from the training and assigned an attrition code of “ZK” for Disciplinary/Misconduct. DAU also will 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 DAU relationships and interactions connected to the educational process,
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including the use of DAU 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;
- 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; they include but are not limited to (all participants are subject to consequential actions):

- Knowingly representing the work of others (from any source) as one's own;
- Using, obtaining, possessing or providing unauthorized assistance on examinations, papers, or any other academic work, to include use of in any manner, and contribution to, known cheating sites (e.g., Course Hero, Quizlet);
- Fabricating data in support of research or field work;
- Forging a signature to certify completion of a training 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;
- Using electronic devices to access information during examinations or assessments without authorization; and
- Receiving answers to an exam in any medium or having someone take the assessment on the student’s behalf.

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 instructors. 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;
- Ownership of proprietary software (i.e. making or using unauthorized copies of such software, even when that software is not protected by copyright);
- Finite capacity of the system and limitation of use so as not to interfere unreasonably with the activity of other users;
- Procedures established to manage the use of the system; and
- Searches of test questions and answers through electronic means.

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 DAU 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 as 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 Academic Affairs 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 training 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 be informed whenever all or part of a class will be recorded.
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 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 training by assigning an attrition code of “ZK” (Disciplinary/Misconduct) for violations associated with Academic Integrity, disruptive classroom behavior, or excessive/unexcused absences. If the training is still in session, the student’s parent organization and Director, Acquisition Career Management (DACM)/Acquisition Talent Management (DATM) 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 “ZK” for violating the Standards of Conduct associated with Academic Integrity, disruptive 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/DATM; and
   - The Center for Scheduling and Student Support (CSSS).

   d. Students with an attrition code of “ZK” are not eligible to register for DAU training 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 and virtual instructor led training (ILT/VILT) will be cancelled by the student’s Agency/Component DACM/DATM. 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 Service or Component DACM/DATM concerned.

4. **Review/Appeal.** The student may appeal the decision of the Dean by petitioning the DAU Vice President and following the procedures for submitting a complaint/grievance in Attachment 13,
5. **Attrition Codes.** Students dropped from training for violating the Standards of Conduct associated with academic integrity, disruptive classroom behavior, or excessive absences will be assigned an attrition code of “ZK” 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.
Training Enrollment and Walk-Ins

1. **Online Training (OLT)**

   a. **Enrollment.** Generally enrollment in DAU OLT is open to all users who meet the eligibility criteria to enroll in DAU training assets that is established by 10 U.S.C.A. 1746 (Defense Acquisition University). DAU’s mandate is to train the current Defense Acquisition Workforce. Additional information on eligibility is available at [https://www.dau.edu/faq/Pages/Eligibility-Registration.aspx](https://www.dau.edu/faq/Pages/Eligibility-Registration.aspx). Eligible users are 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.

   b. Students who meet the eligibility to take DAU training may request a DAU Account by completing the DAU System Authorization Access Request (SAAR) at [https://saar.dau.edu/](https://saar.dau.edu/). Guidance for completing the DAU SAAR is available at [https://www.dau.edu/faq/Documents/CreateDAUStudentAccount.pdf](https://www.dau.edu/faq/Documents/CreateDAUStudentAccount.pdf). Students may enroll in DAU training once the SAAR is processed and a DAU ID is issued.

   c. **OLT enrollment period.** Once enrolled, there is no time limit to complete the OLT. The student will have access to the training until such time that the OLT 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 training. Those that fail to complete the course will be assigned an attrition code of “HZ” for “Other”.

2. **Instructor Led/Virtual Instructor Led Training (ILT/VILT).** Like OLT, enrollment in DAU ILT/VILT is restricted to users who meet the eligibility criteria as outlined in paragraph 1a above. All enrollment requests for ILT and VILT are assigned a priority code. The priority codes are outlined in paragraph 3 below. Enrollment responsibilities/information based on the type of student is outlined below.

   a. **U.S. federal employees.** DoD components’ and agencies’ Directors, Acquisition Career Management (DACM)/Acquisition Talent Management (DATM) 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 training. Access to the DoD component/agency and FAI registration systems is provided through the DAU website at [https://www.dau.edu/training/p/apply-for-a-course](https://www.dau.edu/training/p/apply-for-a-course).


   c. **Foreign Nationals.** Military and civilian employees of a foreign government must apply for DAU training 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 training, will process
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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 https://www.dau.edu/faq/p/FLN-Account-Creation.

(1) Military and civilian employees of countries that are NATO members should initiate their training requests through the SATFA by phone at 757-501-5872 or email at: usarmy.jble.tradoc.mbx.hq.tradoc-satfa-poc@mail.mil. The SATFA desk officer for NATO affairs will connect the student with appropriate NATO training officials to process and coordinate the training request.

(2) A non-U.S. citizen employed by a U.S. defense industry corporation, working for a foreign corporation that has a contract with DoD or any of the military departments, or who is assigned to a U.S. military agency or activity may be eligible to apply for DAU training. For information applying for training, contact the Industry Registrar at https://www.dau.edu/faq/p/FLN-Account-Creation

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

- 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 functional area.
- 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 or VILT. An ILT walk-in is a student who does not have a confirmed seat reservation but shows up at the beginning of training in an attempt to secure a vacant seat. A walk-in may or may not be on the wait list for the specific training offering. VILT walk-ins are evaluated on a case-by-case basis after the reservation close window.

a. Wait List Students. Students on the wait list have been properly registered by their component/agency DACM/DATM 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

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4.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 functional area and level required. **Students are urged to get on the training 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 they have completed the necessary prerequisites. If the training has pre-work requirements and walk-ins are authorized as annotated on the 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 training, 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 is responsible for providing the lead instructor a copy of the wait list not later than 30 minutes before the start of the training.** The designated campus student services representative will follow local campus procedures for advising the lead instructor.
Disenrollment, Dropping and Wait Lists

1. **Online Training (OLT).** 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 curriculum is tagged for retirement to complete the training.

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

   a. Background. Training disenrollment, sometimes referred to as a cancellation or student cancellation, is an action taken with a registered student prior to the commencement of training, whereas dropping or withdrawing is an action taken with a student once the training has commenced. The course commencement date is the published start date of the course regardless of whether or not the training has pre-course work requirements. Wait list students are students who have been properly registered but not enrolled (do not have a seat reservation) in the training. Students may roll from wait list to reservation status when seats become available as early as 65 days prior to the course start date. Wait list status for future offerings in the same course will automatically be cancelled once the student receives a reservation status for the course.

   b. Disenrollment or Enrollment (Student) Cancellation. Before the commencement of ILT/VILT, the student’s component or agency Director, Acquisition Career Management (DACM)/Acquisition Talent Management (DATM) 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. The registration sites are listed at [https://www.dau.edu/training/p/apply-for-a-course](https://www.dau.edu/training/p/apply-for-a-course).

   c. Dropping or Withdrawing from Training

      (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 training 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 “HN” 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.edu.

         (b) Medical Emergency or Illness. Attrition Code “HJ” is used should illness or a personal medical circumstance render the student unable to complete the training requirements. The student must notify the lead instructor who will work with the hosting campus Associate Dean for Academic
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Affairs to notify the student’s parent organization and coordinate actions as necessary.

(c) Emergency Leave. Attrition Code “HI” is used should a family or personal situation arise that necessitates the student leaving. The student must notify the lead instructor who will work with the hosting campus Associate Dean for Academic Affairs and the student’s parent organization and coordinate actions as necessary.

(d) Voluntary Drop (Withdraw) from Training. Attrition Code “Z)” is used for reasons other than stated above and the student wishes to drop or withdraw. The student may do so after receiving approval from their parent organization and presenting such approval to the lead instructor before withdrawing.

(e) Unable to Complete due to Technical Issues. Attrition Code “HA” is used for students experiencing technical issues during Virtual Instructor Led Training (VILT). The technical issue could be from external connectivity or internal to DAU.

(f) Other. Attrition Code “HZ” is used to closeout student record due to inclement weather or other circumstances that do not fit into the attrition codes of ZA, HI, HJ, ZK, HN, Z), or HA. The use of the "Other" attrition code requires approval from the Headquarters Center for Scheduling and Student Support office.

(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 training at the time of withdrawal and it is determined that the student cannot achieve the mastery criteria regardless of performance on remaining training assignments, the student will be assigned an attrition code of “ZA” 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 “ZK” for Disciplinary/Misconduct. The attrition code of “ZK” will not be assigned until the review/appeal process outlined in Attachment 13, Student Inquiries, Complaint, and Grievance Procedures has been completed.

d. Wait List. Students may register to be waitlisted in multiple offerings for the same training. Upon receipt of a reservation status for that training, future wait list status will automatically be cancelled. Students who no longer wish to remain on a wait list status for a training that has not yet started may submit a request for cancellation through their component registration site. The registration sites are listed at https://www.dau.edu/training/p/apply-for-a-course.
Disenrollment, Dropping and Wait Lists

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 training;
   - Cancel an enrollment for a training; or
   - Are dropped from training.

   b. DoD components and agencies may implement restrictions or a waiting period on future enrollments for students who fail to complete training.
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 curricula. Accordingly, DAU has established training prerequisites for many training events that must be met in order to register. Students are not only required to meet prerequisites but also must be competent in prerequisite knowledge and skills. These requirements are deemed essential for successful participation in a higher-level training where functional specialization is emphasized or higher-level curricula are designed to enhance capabilities in a primary specialty or functional area.

2. **Establishing Training Prerequisites**

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

   b. Training prerequisites are listed in the [iCatalog](https://catalog.dau.mil) on the training concept cards along with the description and other unique information.

3. **Meeting Training Prerequisites.** Prerequisites may take different forms such as specified DAU training, individual grade/position requirements, or work experience requirements. Requirements other than coursework will be noted on the training concept card and are intended to refine the target group and optimize the outcomes for the student.

   a. All students must meet prerequisites unless the requirement has been waived. See paragraph 4 below.

   b. Prerequisites are met by 1) completing the designated DAU training; 2) completing an approved equivalent ([acceptable equivalent products](https://catalog.dau.mil) are listed online in the DAU [iCatalog](https://catalog.dau.mil)); or 3) by the student’s component determining that the student has fulfilled the requirements of the prerequisite(s) by assessing the student’s previous education and training experiences against the prerequisite training learning outcomes. *Please note that the DAU Fulfillment Program does NOT extend to 4000-level coursework. Information on the DAU Fulfillment Program is online in the DAU [iCatalog](https://catalog.dau.mil).*

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

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

      - The student’s DAU transcript,
Prerequisite/Pre-work, Training Requirements and Hours

- An equivalent product completion certificate, or
- A complete and approved DD Form 2518, Fulfillment of DoD Mandatory Training Requirement.

4. Waiving Training Prerequisites

   a. Students who do not meet the training prerequisite stand a greater risk of failure. However, to facilitate a student’s immediate registration or meet organizational or student needs, prerequisites may be waived for all training levels except the 4000-level training. The justification for a waiver must be documented within the component or agency registration system.

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

      - Component Directors, Acquisition Career Management (DACM)/Acquisition Talent Management (DATM) or their representative for DoD students;
      - Director, Federal Acquisition Institute (FAI)/agency head or their representative for federal government (other than DoD) students; and
      - DAU, Director, Performance and Resource 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. Prerequisites for 4000-level DAU training (4000-level training prerequisites, grade, position, or work experience requirements) may NOT be waived for attending 4000-level DAU training.

5. Failing to Meet Training Prerequisites. Students failing to meet training prerequisites will be refused entry to a course if the student is a walk-in and not on the wait list. DAU personnel will NOT refuse entry to training by any student failing to meet training prerequisites if the student has been properly registered, enrolled, or wait listed through their components’ registration system.

6. Pre-Work Requirements. Many instructor led training (ILT)/virtual instructor led training (VILT) have pre-work requirements to facilitate the effective delivery of the training material. These requirements will be articulated to the student either upon enrollment or when the student logs on to DAU’s content management system per instruction in the enrollment notice. Students are expected to complete all pre-work requirements prior to attending the offering.

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

   b. Students should review the concept card in the iCatalog before planning to secure a seat through the walk-in process. Students will be refused entry for training that states “Pre-work required/Walk-ins NOT authorized.” For training that states “Pre-work required/Walk-ins
Prerequisite/Pre-work, Training Requirements and Hours

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 class.

7. Training Requirements and Hours

a. As a complement to the standards of conduct outlined in Attachment 1, Student Standards of Conduct and the mastery standards outlined in Attachment 7, Student Assessment and Evaluation, students are expected to complete ALL training requirements to graduate.

b. ILT/VILT typically meet for up to 8 hours a day. This does not include time for lunch and other breaks in the schedule. Many training events have out-of-class activities (homework) that must be completed on the student’s own time to successfully master a curriculum. 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 training 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 student’s parent agency for both ILT/VILT and online training (OLT). DAU has no authority to authorize or recommend compensatory time or credit hours for students that are not DAU employees.

d. OLT and pre-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 is a reflection of the continuous learning points assigned where one point equals one hour. The points are calculated following the protocols established by the American National Standards Institute (ANSI)/International Accreditors for Continuing Education and Training (IACET) and may or may not reflect the time required by an individual student.

8. Responsibilities

a. Director, Production, Coordination and Optimization (PCO); Dean, Defense Systems Management College (DSMC); Dean, College of Contract Management (CCM)

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

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

(1) Communicates changes to training prerequisites within DAU and to the components, ensuring that the registration system(s) supporting DAU training registrations is/are maintained with current and future prerequisites.

(2) Determines adherence to the training prerequisite directive through periodic reviews with the DACMs/DATM.

(3) Provides training 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 curricula 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 training prerequisites. Students who cannot show documentation that supports their successful completion of a DAU prerequisite training, an equivalent product offered by a certified equivalent training provider, or a DD Form 2518, Fulfillment of DoD Mandatory Training Requirement will NOT be admitted to the course.

(2) Ensure that a class roster (official listing of students eligible to participate) is published in accordance with local regional policy.

(3) Collect data as deemed appropriate for students experiencing academic difficulties who were waived into training for discussions with DAU senior leadership regarding the appropriateness of current training prerequisite policies.
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 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 Director, Acquisition Career Management (DACM)/Acquisition Talent Management (DATM) 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 DACM/DATM office for policy and guidance concerning travel requirements. 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 Agency 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. DAU also sponsors and provides a variety of specialized and continuing education curricula for the acquisition workforce. The acquisition workforce participates in DAU training to meet or exceed certification, assignment-specific, and continuous learning requirements relevant to explicit acquisition functional areas. 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, virtual instructor led training (VILT), asynchronous online training (OLT), 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 student’s 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. 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 training completions. DAU employs a mastery (level required for graduation) system. Students must meet prescribed mastery standards to successfully complete DAU training. For ILT/VILT and OLT, the standards are as follows:

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

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

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

   b. Failing to Achieve Mastery Standards:

      (1) ILT/VILT. Students who fail to achieve mastery standards (i.e. receive and attrition code of “ZA” for Comprehension/Academic Failure), have the right to contest their failure within three (3) business days of the training completion by providing a written request to
review their assessment instruments to the teaching region Associate Dean for Academic Affairs. 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 Academic Affairs 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 class if that is the desire of both the student and the student’s parent organization. For these students, the following actions will occur:

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

2. The student will seek guidance about whether to return to the place of duty or remain in the class through graduation. It will be ASSUMED that the student will remain in the class through graduation unless the student obtains written authorization to return to the place of duty. Written authorization can be in the form of an email addressed to the lead instructor from the student’s supervisor or other appropriate organizational official. A student returning home will not participate in any further training activities, and a student being retained will continue to participate in all activities.

3. Failing students who remain in the class are expected to participate fully in all course activities 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 class and the assignment of an attrition code of “ZK” for Disciplinary/Misconduct. Failing students will not be authorized to complete any remaining assessments and end of class survey.

(2) OLT. 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 exam attempt will be required to repeat the course from the beginning unless there is a DAU system failure or approved test item challenge (process outlined in Attachment 11, Test Item Challenge Policy and Procedures). OLT failure status is not recorded in the Army Training Requirements and Resources System (ATRRS).

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

c. Course Student Assessment Plan (CSAP). Each course or other training will have a CSAP consisting of the Individual Objectives Assessment Plan (IOAP), the Student Assessment
Student Assessment and Evaluation

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;
- Learning Outcomes (terminal leaning objectives);
- The Level of Cognitive Complexity (Bloom’s level);
- Assessment Method(s); and
- Types of Assessment Scoring Instrument(s).

d. Student Assessments. Student assessments will clearly identify student achievements, 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 in DAU for the quality and standards of student/participant assessment 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. DAU ensures that:

   (1) Assessment practices are explicit, fair and consistent across the institution.
   
   (2) Assessment procedures are monitored throughout 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, Production, Coordination and Optimization (PCO); 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 Systems Designer (ISD), ensure that:

   (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 curriculum 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 annually) and institutes improvement plans as required.

c. Learning Directors and Learning Asset Managers. With their supporting ISD, will:

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

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

(3) Review regularly (at least 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 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 Student Academic Records (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 training falls below acceptable standards for mastery.

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

e. Students. Comply with Attachment 1, Student Standards of Conduct outlined in this directive as related to all work and attendance requirements associated with DAU training.
**Student Attrition Codes**

1. **Attrition Codes.** Students who do not successfully complete DAU training will receive one of the below attrition codes for ILT/VILT:

<table>
<thead>
<tr>
<th>Attrition Code</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>ZA</td>
<td>Comprehension/Academic Failure</td>
</tr>
<tr>
<td>HI</td>
<td>Emergency Leave</td>
</tr>
<tr>
<td>HJ</td>
<td>Medical Emergency and/or Illness</td>
</tr>
<tr>
<td>ZK</td>
<td>Disciplinary/Misconduct</td>
</tr>
<tr>
<td>HN</td>
<td>Unit Recall</td>
</tr>
<tr>
<td>Z)</td>
<td>Voluntary Drop From Course</td>
</tr>
<tr>
<td>HA</td>
<td>Unable to Complete Due to Technical Issues</td>
</tr>
</tbody>
</table>

For OLT, the attrition code of ‘HZ’ – “Other” will be assigned when the student fails to successfully complete by the specified date after the training is retired.

2. **Attrition Code Explanations**

   a. Comprehension/Academic Failure “ZA”. Used when a student either fails to achieve the mastery criteria for a training or is determined at any time during training that regardless of performance on the remaining assessments, the student **CANNOT** achieve the mastery criteria.

   b. Emergency Leave “HI”. Used when a student must drop a training 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 and Wait Lists*.

   c. Medical Emergency or Illness “HJ”. Used when a student must drop training 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 and Wait Lists*.

   d. Disciplinary/Misconduct “ZK”. Regardless of the student’s achievement towards mastery criteria, the “ZK” 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 training requirements.

   e. Unit Recall “HN”. Used when a student must drop a course due to unit recall as outlined in Attachment 4, *Disenrollment, Dropping and Wait Lists*.
f. Voluntary Drop from Course “Z”). 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 and Wait Lists*.

g. Unable to Complete due to Technical issues. Attrition Code “HA” is used for students experiencing technical issues during Virtual Instructor Led Training (VILT). The technical issue could be from external connectivity or internal to DAU.

h. Other “HZ”. Used to close out student’s record due to inclement weather or other circumstances that do not fit into the attrition codes of ZA, HI, HJ, ZK, HN, Z), or HA. The use of the "Other" attrition code requires approval from the Headquarters Center for Scheduling and Student Support Office.

3. **Responsibilities.** In addition to those aforementioned responsibilities, the Regional Student Services representative (for the respective teaching region) is responsible for entering the data (graduation or attrition code) into the student’s official record for ILT and VILT after proper notification from the 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 Center for Scheduling and Student Support 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 also will 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 training.*

   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 and moves into an enrolled class 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 training. 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 DAU training. Accommodations of that sort are the responsibility of the employing agency.

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

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

      (2) Learning Disabilities. The campus Associate Dean for Academic Affairs 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 CSSS that a particular accommodation is necessary. The student’s supervisor can then confirm the accommodation.
c. Online Training (OLT). The student is responsible for advising the DAU Help Desk if an impairment impedes access to the curriculum 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 Functional Area (Programs) and from Other Institutions

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

2. **Policy.** The certification programs supported by DAU are unique to DoD and based on the student meeting training standards directly supported by DAU as well as education and experience standards. To support the transfer or movement of students between programs or acquisition functional areas and students who have engaged in training from DAU as well as other institutions or organizations, DAU employs the following policies and programs:

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

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

      (2) Students should remember that although training 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 prerequisite and their program training standards (training requirements for functional area certification) using the Equivalency Program. DAU provides the opportunity for other organizations (e.g. federal government agencies, colleges, universities, private vendors, and non-profits) to offer training, programs, or certifications which DAU would accept as equivalent to one or more DAU training, if the materials and standards fully address the DAU learning outcomes for a selected DAU training. The organization providing instruction is responsible for requesting equivalency. Without further assessment of the student, DAU will accept the equivalent completion a student has pursued through other resources when fulfilling prerequisites. Furthermore, DoD components and agencies will accept equivalent 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 training prerequisites and their program training standards (training requirements for functional area certification) using the Fulfillment Program. The student initiates the process for a fulfillment request on a DD Form 2518, Fulfillment of DoD Mandatory Training Requirement. DoD components and agencies assess the student’s past training or experience, regardless of source, against the learning outcomes of select DAU training. 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 training. 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 meeting prerequisites. Furthermore, DoD components and agencies will accept equivalent product completions when fulfilling the training standards outlined in the various certification programs. The Fulfillment Program is applicable to training (excluding 4000-level training) 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 in the DAU iCatalog at https://icatalog.dau.edu/student_info_H.aspx.
Test Item Challenge Policy and Procedures

1. **Background.** The test item challenge policy applies only to Online Training (OLT). As outlined in Attachment 7, *Student Assessment and Evaluation*, students who fail to achieve mastery standards for an OLT (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 training 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 training unless one of the following two conditions exists:

   (1) **DAU System Failure.** When there has been a DAU system(s) failure and it has been substantiated that it caused a student or students 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 OLT 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.

   (2) **Approved Test Item Challenge.** When a training failure is related directly to a training content/test question challenge and that challenge has been accepted (validated by the Learning Asset Manager (LAM)), the student will be manually passed for the exam in question.

   b. Final approval of the above conditions rests with the LAM.

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.edu 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)*
   If validated, the manual pass is for:

   Student Name: (Student Name) Student ID: (DAUID)
   Training: *(Course ID such as ACQ1010)*
   Exam: *(Identify the exam at issue such as Lesson 2 Exam)*
Test Item Challenge Policy and Procedures

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, 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 the appropriate representative in the Integrated Learning Solutions Center (ILE Help Desk). The student’s training record will be reviewed, and upon verification, the student will be manually passed and allowed to move forward. When an ILE Help Desk representative updates the student’s training 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 training content does not support the question, the student may initiate a test item challenge.

(1) The LAM handles all test item challenges.

(2) When a student believes there is a bad test question or the content in the training does not support the test question, the student may notify the DAU Help Desk at DAUHelp@dau.edu 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 training. The below information is provided:

Student Name: (Student Name) Student ID (DAUID):
Training: (Course ID such as ACQ1010)
Exam: (Identify the exam at issue such as Lesson 2 Exam)
Justification: (Describe what you believe the issues to be causing you to fail)
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 LAM for assistance.
Test Item Challenge Policy and Procedures

b. LAMs Decision

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

(2) If the LAM concurs with the students’ claim that the test question is bad or the content of the training does not support the question, the LAM sends an email to the DAU Help Desk (see below), with final disposition to the Help Desk to manually pass the student. The LAM’s email must fully explain why the LAM concurs with the student.

    From: (DAU Instructor)
    To: (DAUHelp)
    Subject: (Pass Exam)

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

    Student Name: (Student Name)
    Training: (Course ID such as ACQ1010)
    Exam: (Identify the exam at issue such as Lesson 2 Exam)

(3) ILE Help Desk manually moves a student forward and generates an appropriate email back to the student with a copy to the LAM. The LAM 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 LMS, and/or updating the question, or replacing the question. In all of these cases, the test bank documentation must be updated in DAU’s content management system by the LAM.
1. **Transcripts.** The information reflected on the student transcript represents the information contained in the official system of record regarding the student’s training completions. Official and unofficial student transcripts for training taken at DAU schools or affiliated providers can be obtained for training completed since the establishment of DAU in FY 92 and which was processed through the Army Training Requirements and Resources System (ATRRS). If a student completed training 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://dau.atrrs.army.mil/dautranscript.

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

   c. Student transcripts will display only DAU training 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 Functional Area (Programs) and from Other Institutions.

   d. DAU transcripts record DAU training 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 are only awarded to DAU online training (OLT).

   e. Students may request any missing DAU training completion be added to the Transcript by sending an email to scheduling@dau.edu. Students must include a copy of the DAU-issued training completion certificate. Other documents not issued or maintained by DAU such as the Acquisition Career Record Brief (ACRB) or any transcript(s) maintained by a DoD Agency cannot be used as source documentation for updating or adding a DAU completion to the DAU transcript. DAU cannot update the transcript with DAU equivalent training that was completed through an equivalent provider. Students must submit a request through their appropriate Director, Acquisition Career Management/Acquisition Talent Management (DACM/DATM) office to obtain credit for completing training through an equivalent provider.

      (1) DAU does not republish course completion certificates for courses completed prior to FY09. For training completed from FY09 to present, students may download a copy of their training completion certificate from the DAU learning management system (LMS) by logging into https://id.dau.edu/ using your user name and password or your combined access card (CAC).

   f. DAU will not be able to update or add training completed more than 5 years from the current fiscal year that is missing from the DAU transcript because of system limitations.

   g. Students may submit requests to DAU by sending an email to scheduling@dau.edu 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 training completions.
h. Students may submit requests to update or add training completion through the DAU Equivalency program or the DAU Fulfillment program to their Service component. DAU cannot update information reflected in Section III DAU Training Credited by Completing an Equivalent Training and Section IV DAU Training Credited Through Fulfillment.

i. Information about ACE credit can be found at https://www.dau.edu/partnerships/p/ACE-Credit. Students may visit the ACE website to review ACE credits for DAU completions at https://www.acenet.edu/national-guide/Pages/default.aspx. To receive the recommended ACE credit, students must complete the training during the period specified. If a DAU training is not listed, this means that ACE has not reviewed or approved the training for semester credit hours.

j. Students are strongly encouraged to log in to https://dau.atrrs.army.mil/dautranscript/ and review their DAU transcript two weeks after completing a DAU training and report missing completions to DAU by sending an email to scheduling@dau.edu immediately. Delaying a report of missing DAU training 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 2, Violations of the Standards of Conduct) or associated with a student’s formal complaint/grievance as outlined in Attachment 13, Student Inquiries, Complaint, and Grievance Procedures.

a. Workforce Qualification Records. Data elements associated with workforce qualification records include student identifying information, training 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 specific training including coursework such as student work products, exams, and grade book information.

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

(2) For Instructor Led Training/Virtual Instructor Led Training (ILT/VILT), coursework not retained in DAU’s content management system 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 training completion, student work products retained in the DAU content management system will be locked seven (7) days following graduation and archived annually. Student work products retained by the assigned instructor will be shredded. Learning Asset Managers (LAMs) 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 (ILT/VILT only), the students’ training records will be retained and secured by the region Associate Dean of Academic Affairs (ADAA) and/or DAU content management system for at least 60 days following the completion date of the training after which the coursework will be disposed of in accordance with local procedures. DAU LMS will retain student data for the OLT.

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

c. Student Files. Files created when a student receives an attrition code of “ZK” 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, Student Inquiries, Complaint, and Grievance Procedures will be retained by the campus Associate Dean of Academic Affairs for at least 60 days following final resolution and by the Center for Scheduling and Student Support (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 region ADAA and to CSSS.

3. Disclosure of Academic Information (Privacy)


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 “ZA” or “ZK” 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.

(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 CSSS at scheduling@dau.edu. 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.
1. **Student Inquiries.** Students can contact the DAU Help Desk through email at DAUHelp@dau.edu or 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 functional area 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 DAU. If the inquiry involves an exam as outlined in Attachment 7, *Student Assessment and Evaluation*, the Help Desk will provide the student with the assigned Learning Asset Manager (LAM) contact information.

   b. Under normal circumstances, when a student makes an inquiry to the DAU Help Desk or to the assigned LAM, 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 lead instructor. However, students do have the right to file a formal written complaint/grievance with DAU if they believe an inequity exists or there is a problem they believe needs to be addressed by DAU 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), that is not always possible. Accordingly, complaints typically will be handled in the following order:

   1st Lead Instructor
   2nd Department Chair within the region or college
   3rd Regional or college Associate Dean for Academic Affairs
   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 lead instructor, the instructor will provide the student 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 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 DAU 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, *Student Transcripts, Records Retention, and Disclosure of Student Academic Records (Privacy).*

5. **Review/Appeal.** Students may seek a review or appeal a complaint or grievance by petitioning the DAU Vice President in the below circumstances:

- When the regional or college Dean imposes an attrition code of “ZK” (Discipline/Misconduct) (violation of the Standards of Conduct should not be handled with Attrition Code “ZA”) or

- The student receives an attrition code of “ZA” (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 training completion.

6. **Petitioning the DAU Vice President**

   a. When making an appeal to the 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.

   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 Director, Acquisition Career Management (DACM) or Director, Acquisition Talent Management (DATM). Any student who has exhausted the DAU appeal process and feels their issue is not satisfactorily resolved may contact the DAU accrediting body using 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 Academic Affairs 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, *Student Transcripts, Records Retention, and Disclosure of Student Academic Records (Privacy)*