

**BY ORDER OF THE COMMANDER  
AIR UNIVERSITY (AETC)**



**AIR FORCE INSTRUCTION 36-116**

**AIR UNIVERSITY  
Supplement**

**19 OCTOBER 2020**

**Personnel**

**CIVILIAN FACULTY PERSONNEL  
MANAGEMENT**

**COMPLIANCE WITH THIS PUBLICATION IS MANDATORY**

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This publication supplements Air Force Instruction (AFI) 36-116, *Civilian Faculty Personnel Management*. It applies to Air University (AU) civilian faculty members hired under Title 10 USC and positions classified using the Administratively Determined (AD) pay plan. Civilian faculty members assigned to AU's Air Force Institute of Technology (AFIT) will continue to follow *AFIT's Promotion and Tenure* policy in accordance with Air University Instruction (AUI) 36-2602, *AU Operations*, **paragraph 5.6.2** This Supplement does not apply to non-faculty positions, including support positions, or to faculty positions classified using the General Schedule (GS) or other pay plans. Refer recommended changes and questions about this publication to the Office of Primary Responsibility (OPR) listed above, using the AF Form 847, *Recommendation for Change of Publication*, routed through the appropriate chain of command. AU/CC is the waiver authority for requirements established in this publication. Submit all waiver requests to requirements established in this publication to the OPR, routed through the appropriate chain of command. Ensure that all records created as a result of processes prescribed in this publication are maintained in accordance with AFI 33-322, *Records Management and Information Governance Program*, and disposed of in accordance with the Air Force Records Information Management System (AFRIMS) Records Disposition Schedule (RDS).

### **SUMMARY OF CHANGES**

This document is substantially revised and must be completely reviewed. Major changes include: (1) Supplements AFI 36-116, *Civilian Personnel Management*, rather than AFI 36-804, *Civilian Faculty Pay Plan for Air University and the USAF Academy*; (2) Reflects the publication of AUI

36-2602, *Air University Operations*, rather than multiple superseded AUIs; (3) Clarifies waiver authority; and (4) Administrative changes.

**2. 4.1. (Added) AU Commander's (AU/CC's) Intent.** For subordinate Commanders and Commandants to have the authority and flexibility to manage their assigned faculty to accomplish their designated missions. For the Chief Academic Officer (CAO) to ensure compliance with published guidance, equity for all civilian faculty members, consistency in how academic programs interpret University policies, and high academic standards. For AD faculty members to participate actively in shared academic governance and have confidence that all faculty actions consider scholarly as well as military perspectives and standards. For AU to build a diverse faculty committed to inclusive teaching and scholarship in support of the institution.

**2.4.2. (Added) Roles and Responsibilities.** Requirements established by this Supplement will be implemented in accordance with the roles and responsibilities established in AUI 36-2602, paragraph 5.2. The approval authorities delegated in AUI 36-2602, paragraph 5.2.1. may not be further delegated without written authorization from AU/CC. All such requests will be routed through the AU/CAO for coordination. If AU/CC authorizes further delegation of authority, a copy of the authorization will be included as a tab to all applicable staff packages.

**2.4.3. (Added) Disapproval and Appeals.** Only the approval authority is authorized to disapprove civilian faculty actions addressed in this Supplement. The approval authority will make decisions after considering recommendations, to include those of subordinate commanders, administrative faculty members, and peer review (see [paragraph 2.4.4](#) of this Supplement). Civilian faculty members may appeal disapproval to the approval authority within 30 calendar days of being informed of the decision. Approval authorities will consult with the AU/CAO before adjudicating appeals.

**2.4.4. (Added) Peer Review.** Peer review is the careful analysis of a faculty member's performance based on professional standards by other knowledgeable academics. Peer review is a cornerstone of shared academic governance, which promotes self-regulation, accountability to colleagues, and academic excellence. (**Note:** "Peer" means – a faculty member, regardless of pay plan, who has similar duties, comparable or greater expertise, the same or higher academic rank, and is not the supervisor of the individual under review.) Peer review results in a recommendation, not a decision.

**2.4.4.1. (Added) Use of Peer Review.** Commanders and Commandants will consider recommendations from peer reviews at the College-level for all initial appointments (hiring), renewals of appointment, award of academic rank, academic promotion, award of academic tenure, and award of emeritus status. Peer review is not required for the renewal of appointment of senior civilian administrative faculty or faculty hired directly into an administrative position in accordance with AUI36-2602, [paragraph 5.6.3.2](#). The AU/CAO will coordinate peer reviews at the University-level for the award of emeritus status, academic promotions to the rank of Professor (AD-24), and the award of academic tenure. Peer reviews will consist of at least three individuals and should seek to include at least one woman, one minority, one career civilian (not retired from the military), and one military representative.

3.1.4. **Duties and Titles.** Titles are tied to positions, and are distinct from Academic Ranks, which are based on an individual faculty member's qualifications and performance. Line civilian faculty members' titles will be standardized in Core Personnel Documents at the departmental level as "Professor of *Departmental Area*" (e.g., Professor of Leadership, Professor of Warfighting, etc.).

3.1.4.1.1. **(Added) Establishing New Administrative Faculty Positions.** Commanders and Commandants may establish new administrative faculty positions either by classifying a new billet or re-classifying an existing billet. Note, this assumes changes are required beyond those permissible using "pen and ink." The rationale, coordination, and approval will be documented using AU Form 61, *Changes to a Civilian Faculty Core Personnel Document*.

3.1.4.1.2. **(Added) Assignments as Administrative Faculty.** Commanders and Commandants may fill administrative positions by assigning a qualified civilian faculty member for a period of time that is specified at the time of the assignment. This period should normally not exceed five years. Commanders and Commandants should treat such assignments as developmental opportunities for civilian faculty members, establish local policies to make faculty aware of such opportunities, and ensure that procedures employed for filling these assignments are clear.

3.1.4.1.2.1. **(Added) Pay for Assignments as Administrative Faculty.** Line civilian faculty members assigned to administrative roles will receive a 3-step salary increase for the duration of the assignment. Upon a civilian faculty member's completion of his/her assignment, the Commander or Commandant may either: renew the assignment for a second period (again, normally not to exceed five years); or, permit the civilian faculty member to resume his/her line faculty duties and assign or directly hire a new individual to the administrative position. When an assignment concludes, the civilian faculty member's salary is decreased by 3-steps.

3.1.4.1.2.2. **(Added) Documentation of Assignments as Administrative Faculty.** Commanders and commandants may direct that peer review be incorporated to selections for assignment of a civilian faculty member to administrative positions, but it is not required. The rationale, coordination, and approval will be documented using AU Form 57, *Assignment of a Civilian Faculty Member as Administrative Faculty*.

3.2.1. **(Added) Establishing New Line Faculty Positions.** Commanders and Commandants may establish new civilian line faculty positions either by classifying a new billet or re-classifying an existing billet. Note, this assumes changes are required beyond those permissible using "pen and ink." The rationale, coordination, and approval will be documented using AU Form 61, *Changes to a Civilian Faculty Core Personnel Document*.

3.2.2. **(Added) Civilian Faculty Duties.** AU civilian faculty members' duties will reflect the categories established and defined in AUI 36-2602, paragraph 5.7. (i.e., teaching, scholarship, and service).

3.2.3. **(Added) Emeritus Faculty.** AU/CC established the additional category of Emeritus Professor as an honorary academic rank in AUI 36-2602, paragraph 5.6.1.7.

3.2.3.1. **(Added) Emeritus Faculty Process.** Members of AU may nominate retiring civilian faculty members for Emeritus status. Nominations will be documented using AU Form 60, *Award of Emeritus Status to a Civilian Faculty Member*, and routed through the chain of command. Commanders and Commandants will determine their internal coordination processes. The AU/CAO will convene a university-wide peer review process. Any “Nonconcur” recommendation at the university-level will be returned to the submitting Commander or Commandant for information and/or resolution before submission to AU/CC for final approval or disapproval.

4.2.1. **(Added) Term of Initial Appointment.** AU/CC retains the authority to appoint competitively a civilian faculty member for an initial term of more than three years due to extraordinary qualifications and to approve exceptions to the competitive process when that exception is in the best interest of the Air Force.

4.2.2. **(Added) Initial Appointment Process.** Initial appointment or hiring of a civilian faculty member entails five phases: (1) Classification and Preparation; (2) Advertisement; (3) Certification and Selection; (4) Coordination; and (5) Tentative Offer, On-boarding, Firm Offer, and PCS or Relocation/Recruitment Incentive.

4.2.2.1. **(Added) Classification and Preparation.** The hiring official will ensure the CPD is accurate prior to initiating other administrative processes. If changes are required beyond those permissible using “pen and ink,” the rationale, coordination, and approval of changes will be documented using AU Form 61, *Changes to a Civilian Faculty Core Personnel Document*. In all cases, the civilian personnel liaison will submit the approved AU Form 61 with the request for personnel action using the approved process.

4.2.2.2. **(Added) Advertisement.** The Dean or equivalent must approve all advertisements for civilian faculty position, using the approved template. The servicing civilian personnel office will then announce vacant civilian faculty positions on USAJOBS, normally for at least 30 days, to ensure the widest dissemination of vacancies and to attract the highest qualified candidates. The servicing personnel office will furnish the announcement number to both the hiring official and the AU Chief of Faculty Affairs, who will facilitate concurrent advertisement in an appropriate national publication at no expense to the academic program/school/college. The hiring official is responsible for advertising the position with at least one minority and one women’s professional organization.

4.2.2.3. **(Added) Certification, Peer Review, and Recommendation.** The servicing civilian personnel office will provide the complete certificate of applicants to the hiring official for 90 days. Commanders and Commandants will ensure a peer review process informs the hiring recommendation in accordance with AUI 36-2602, paragraph 5.2.3.3.1. Deans or their equivalents will provide written guidance to peer review bodies and are encouraged to offer members implicit bias training and/or other best practices to ensure both excellence and equity. During interviews, peer reviewers should ask at least one question about fostering diversity and/or inclusive teaching

practices. Sample questions are available from the OPR. The recommendation, coordination, and approval will be documented using AU Form 55, *Initial Appointment as a Civilian Faculty Member*.

4.2.2.4. **(Added) Coordination.** Commanders and Commandants will establish internal coordination processes. All initial appointments (hiring actions) will also be coordinated with the servicing civilian personnel office as well as AU/JA, AU/FM, and AU/CAO as prescribed by AU Form 55, *Initial Appointment as a Civilian Faculty Member*. Initial appointments at the academic rank of Professor (AD-24) are rare; however, in such cases, coordination will reflect AU/CC as the approval authority, in accordance with AUI 36-2602, paragraph 5.2.1.

4.2.2.5. **(Added) Tentative Offer, On-boarding, Firm Offer, PCS or Relocation/Recruitment Incentive.** Only the servicing civilian personnel office may proffer tentative offers, handle on-boarding of prospective faculty (to include security clearance, drug testing, suitability/fitness review, and any other required steps), proffer firm offers, and process requests for PCS orders or Relocation/Recruitment Incentives (in accordance with Agency policy).

4.4.1. **(Added) Award of Academic Rank and Academic Promotions.** AUI 36-2602, paragraph 5.6.1. requires full-time faculty members to hold academic rank, and [paragraph 5.6.3.2](#) notes this applies to direct administrative faculty hires as well. Civilian faculty members may self-nominate or be nominated by leadership for award of or promotion in academic rank. Both processes will be informed by peer review at the College-level and the recommendation, coordination, and approval will be documented on an AU Form 58, *Award of Academic Rank or Academic Promotion up to Associate Professor*, or AU Form 59 *Award of Academic Rank of Professor and/or Academic Tenure to a Civilian Faculty Member*. In cases that involve awarding the academic rank of Professor (AD-24) and/or academic tenure, the AU/CAO will convene a university-wide peer review process. Any “Nonconcur” recommendation at the university-level will be returned to the submitting Commander or Commandant for information and/or resolution before submission to AU/CC for final approval/disapproval.

4.5.1. **(Added) Academic Tenure.** Eligibility and criteria for the award of academic tenure at AU are outlined in AUI 36-2602, paragraph 5.6.2.

4.5.1.1. **(Added) Academic Tenure Process.** Recommendations for awarding academic tenure will normally be made in conjunction with recommendations for promotion to the academic rank of Professor (AD-24). In rare cases, a civilian faculty member may be recommended for promotion to the academic rank of Professor but not for academic tenure. Such instances require a clear and compelling rationale. If promotion to the academic rank of Professor is approved without academic tenure, the civilian faculty member may apply for consideration at a later date. Recommendations, coordination, and approval for the award of academic tenure will be documented using AU Form 59, *Award of Academic Rank of Professor and/or Academic Tenure to a Civilian Faculty Member*. Commanders and Commandants will determine their internal coordination processes. The AU/CAO will convene a university-wide peer review process. Any “Nonconcur” recommendation at the university-level will be returned to the submitting Commander or Commandant for

information and/or resolution before submission to AU/CC for final approval/disapproval.

**5.2.1. (Added) Salary Setting for Initial Appointments.** Starting salaries will normally be set within two steps (+/-) of the average starting salary for the College's last five faculty members of the same academic rank. Starting salaries will be documented and justified for initial appointments using AU Form 55, *Initial Appointment as a Civilian Faculty Member*. Additional justification will be required if the proposed starting salary is three or more steps (+/-) from the average or comparable faculty members cannot be identified within the College.

**5.3.1. (Added) Merit Pay Allocation.** Prior to the conclusion of the civilian faculty appraisal period, AU/CAO – in consultation with AU/FM – will provide AU/CC with recommendations for the allocation of merit steps as well as cash and/or time off awards. AU/CAO will communicate AU/CC's decisions to subordinate Commanders and Commandants for implementation.

**5.5. Criteria for Appointment to Specific Academic Rank.** AU's criteria for the award of academic rank are published in AUI 36-2602, paragraph 5.6.1. In cases where the AUI's criteria are more stringent than those in the AFI, paragraph 5.5., the AUI prevails.

**6.1.1. (Added) Civilian Faculty Core Personnel Documents (CPDs).** AU civilian faculty members' CPDs will reflect the duties established and defined in AUI 36-2602, paragraph 5.7. (i.e., teaching, scholarship, and service). Large or complex duties may be addressed in the CPD by hyphenating the duty (e.g., "Teaching – Development" and "Teaching – Delivery") or otherwise distinguishing its elements. CPDs should be broad enough to be used by multiple line civilian faculty members. (Note that extremely specific qualifications and areas of expertise should be addressed in vacant position announcements, annual work/development plans, and annual appraisals, not in CPDs.) CPDs will be reviewed annually and updated as needed. CPDs will be included as a supporting tab to all initial appointments, renewals of appointment, award of academic rank and/or tenure, and temporary appointment as administrative faculty.

**6.1.2. (Added) Civilian Faculty Performance Appraisal.** AU civilian faculty members' performance appraisals will reflect the duties established and defined in AUI 36-2602, paragraph 5.7. (i.e., teaching, scholarship, and service), which are broadly documented in the CPD, and specifically detailed in the Defense Performance Management and Appraisal System (DPMAP). Civilian faculty members' performance appraisal cycle begins on 1 July and concludes on 30 June.

**6.1.3. (Added) Senior Civilian Administrative Faculty Performance Appraisals.** In preparation for a senior civilian administrative faculty member's annual performance appraisal, the AU/CAO will provide a letter of input to Commanders and Commandants, if requested, regarding the academic performance of all Deans, Education Advisors, or Program Coordinators who supervise AD faculty members.

7.1.1. **(Added) Renewal of Appointment Process.** After successful completion of the initial term of appointment, subsequent renewals of appointment can range from 1 to 5 years, based on either performance or the needs of the College. Civilian faculty members should be notified of the decision in writing at least 6 months prior to the expiration of his/her current term. Notification may be provided sooner. In exceptional circumstances, Commanders and Commandants may also request AU/CC approve a 1 or 2 step increase in conjunction with reappointment to address historical pay inequities. Renewals will be informed by peer review. Recommendations, coordination, and approval will be documented using AU Form 56, *Renewal of Appointment of a Civilian Faculty Member*.

7.1.2. **(Added) Non-renewal of Appointment Process.** Commanders and Commandants should consult with AU/JA and the servicing Civilian Personnel Office prior to deciding not to renew the appointment of a civilian faculty member without academic tenure. The decision does not require staffing at AU Headquarters; however, the rationale and process should be carefully documented. The affected civilian faculty member must be notified of the decision in writing at least 6 months prior to the expiration of his/her current term. Notification may be provided sooner. A copy of the notification will be provided to AU/CAO, AU/JA, and the servicing civilian personnel officer.

JAMES B. HECKER, Lt General, USAF  
Commander, Air University

**Attachment 1****GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION*****References***

AFI 36-116, *Civilian Faculty Personnel Management*, 28 December 2018

AUI 36-2602, *Air University Operations*, 10 September 2018

***Prescribed Forms***

AU Form 55, *Initial Appointment as a Civilian Faculty Member*

AU Form 56, *Renewal of Appointment of a Civilian Faculty Member*

AU Form 57, *Assignment of a Civilian Faculty Member as Administrative Faculty*

AU Form 58, *Award of Academic Rank or Academic Promotion up to Associate Professor*

AU Form 59, *Award of Academic Rank of Professor and/or Academic Tenure to a Civilian Faculty Member*

AU Form 60, *Award of Emeritus Status to a Civilian Faculty Member*

AU Form 61, *Changes to a Civilian Faculty Core Personnel Document*

***Adopted Forms***

AF Form 847, *Recommendation for Change of Publication*

SF 182, *Authorization, Agreement, and Certification of Training*

***Abbreviations and Acronyms***

**AD**—Administratively Determined

**AF**—Air Force

**AFI**—Air Force Instruction

**AFIT**—Air Force Institute of Technology

**AFMAN**—Air Force Manual

**AFRIMS**—Air Force Records Information Management System

**AU**—Air University

**AU/CAO**—Chief Academic Officer

**AU/CC**—Air University Commander

**AUI**—Air University Instruction

**CPD**—Core Personnel Document

**DPMAP**—Defense Performance Management Appraisal Program

**GS**—General Schedule

**OPR**—Office of Primary Responsibility

**RDS**—Records Disposition Schedule

**SF**—Standard Form

### *Terms*

**Administrative faculty**—Civilian faculty positions classified as AD-25, AD-26, AD-27, and AD-28. Administrative faculty members' duties include a greater degree of service than those of line faculty members.

**Appointment**—The employment of a faculty member in a position with duties defined by a core personnel document for a specified period of time or term. AD faculty members' term appointments may be renewed in accordance with AFI36-116, paragraph 7.1. An initial appointment is commonly referred to as hiring.

**Assignment**—The change of a faculty member from one position to another, without promotion or change to lower grade, for a specific period of time, after which the faculty member is expected to return to his or her regular position. An assignment does not affect the length of an appointment.

**College**—An AU organization authorized to employ AD Faculty Members, including: Air Command and Staff College, Air Force Institute of Technology Headquarters, Air University Headquarters (including the Muir S. Fairchild Research Information Center), Air War College, Graduate School of Engineering and Management, and School of Advanced Air and Space Studies.

**Extraordinary qualifications**—Qualifications that are more extensive in quantity and more impressive in quality than those of faculty members with the same length of service and with the terminal degree that have been promoted. Furthermore, the faculty member's extraordinary performance must be recognized regionally, nationally and/or internationally.

**Line faculty**—Civilian Faculty Positions classified as AD-21, AD-22, AD-23, and AD-24. Line faculty members' duties emphasize teaching and scholarship compared to those of administrative faculty members.

**Minority**—In accordance with federal guidelines, particular groups who share a race, ethnicity, color, or national origin. For the purposes of this Supplement, these groups are: American Indian or Alaskan Native, Asian or Pacific Islander, Black or African American, and Hispanic.

**Peer**—Other faculty members, regardless of pay plan, who have similar duties, comparable or greater expertise, the same or higher academic rank, and are not the supervisor of the individual under review.

**Peer Review**—The careful analysis of a faculty member's performance based on professional standards by other knowledgeable academics. Peer review is a cornerstone of shared academic governance, which promotes self-regulation, accountability to colleagues, and academic excellence. Peer review results in a recommendation, not a decision.

**Senior civilian administrative faculty**—Deans, Education Advisors, or Program Coordinators who supervise AD faculty members.