

Fiscal Year (FY) 2009 Budget Estimates National Defense University (NDU)



February 2008

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NATIONAL DEFENSE UNIVERSITY
Operation and Maintenance, Defense-Wide
Fiscal Year (FY) 2009 Budget Estimates

Operation and Maintenance, Defense-Wide Summary (\$ in thousands)
Budget Activity (BA) 3: Training and Recruiting

	<u>FY 2007</u>	<u>Price</u>	<u>Program</u>	<u>FY 2008</u>	<u>Price</u>	<u>Program</u>	<u>FY 2009</u>
	<u>Actuals</u>	<u>Change</u>	<u>Change</u>	<u>Estimate</u>	<u>Change</u>	<u>Change</u>	<u>Estimate</u>
NDU	85,247	2,112	10,465	97,824	2,391	-20,255	79,960

I. Description of Operations Financed: The National Defense University is the Department's premier **center for Joint Professional Military Education (JPME)**. The NDU conducts world-class seminars, symposia and professional development and conferencing for DOD and Congressional representatives. The University's main campus is on Fort McNair in Washington, D.C. The Joint Forces Staff College is located in Norfolk, VA. The Commission on Higher Education of the Middle States Association of Colleges and Schools accredits the National Defense University. The NDU colleges and institutions are:

National War College	Institute for National Strategic Studies
Industrial College of the Armed Forces	CAPSTONE
Information Resources Management College	National Security Education Program (until
Joint Forces Staff College	FY 2009)

The NDU is under the direction of the Chairman of the Joint Chiefs of Staff as provided in the amended 1986 Department of Defense Reorganization Act. The Chairman defines the objectives and policies for JPME for the United States Armed Forces through the Military Education Division of the Joint Staff. Specific objectives and policies for JPME appear in Chairman of the Joint Chief of Staff Instruction 1800.01C, "Officer Professional Military Education Policy," dated December 22, 2005, and for NDU in the Chairman of the Joint Chief of Staff Instruction (JSCI) 1801.01, dated January 1, 2008, "National Defense University Education Policy."

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I. Description of Operations Financed (continued):

National War College

	<u>Dollars in Thousands</u>		
<u>FY 2007</u>	<u>FY 2008</u>	<u>FY 2009</u>	
<u>Actual</u>	<u>Estimate</u>	<u>Estimate</u>	
5,406	5,280	5,428	

The National War College (NWC) conducts a senior-level course of study in national security strategy to prepare selected military officers, federal officials, and International Officers for high-level policy, command, and staff responsibilities. The college emphasizes the joint (multi-service) and interagency perspectives and awards the Master of Science in National Security Strategies. The NWC graduated 215 students for Academic Year (AY) 2007 which consisted of 128 U.S. military (42 Army, 42 Air Force, 14 United States Marine Corps (USMC), 28 Navy, and 2 Coast Guard), 15 Defense Leadership and Management Program (DLAMP) participants, 12 DOD civilians, 28 non-DOD personnel, and 32 International officers from 32 countries. The AY 2008 class consists of 224 students (128 U.S. military (42 Army, 42 AF, 13 USMC, 29 Navy, and 2 Coast Guard), 14 DLAMP, 13 DOD civilians, 38 non-DOD, and 31 International officers). The number of students for Academic Years 2009 and 2010 will remain at 224 students and will consist of 130 U.S. military (43 Army, 43 Air Force, 14 United States Marine Corps (USMC), 28 Navy, and two Coast Guard), 15 Defense Leadership Management Program(DLAMP), 10 DOD civilians, 37 non-DOD, and 32 International officers.

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I. Description of Operations Financed (continued):

Industrial College of the Armed Forces

Dollars in Thousands

FY 2007	FY 2008	FY 2009
<u>Actual</u>	<u>Estimate</u>	<u>Estimate</u>
7,354	11,307	13,031

The Industrial College of the Armed Forces (ICAF) prepares selected military officers and civilians for strategic leadership and success in developing national security strategy and in evaluating, marshalling, and managing resources in the execution of that strategy. The College emphasizes the joint (multi-service) and interagency perspectives and awards its graduates a Master of Science degree in National Resource Strategy. For AY 2007, ICAF graduated 312 students (includes 185 U.S. military, 1 international civilian and 19 International officers, 67 from DOD agencies and DLAMP, 31 from non-DOD agencies and 9 private sector). The 185 military consisted of 61 from Army, 63 Air Force, 41 Navy, 18 USMC, and 2 USCG. Student population grew to 320 students in AY 2008 and will remain at that level in AY 2009. Interagency representation increased in AY 2008 and per (JSCI) 1801.01, less than sixty percent of the student body is U.S. military personnel. The ICAF maintains the current student-faculty ratio of 3.5:1 through a combination of authorized civilian and military faculty positions and a limited number of interagency and military services' faculty chairs.

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I. Description of Operations Financed (continued):

<u>Information Resources Management College</u>	<u>Dollars in Thousands</u>		
	<u>FY 2007</u>	<u>FY 2008</u>	<u>FY 2009</u>
	<u>Actual</u>	<u>Estimate</u>	<u>Estimate</u>
	8,035	8,639	8,872

The Information Resources Management College (IRM College) prepares leaders to direct the information component of national power by leveraging information and information technology for strategic advantage. The IRM College programs provide a dynamic forum in which senior defense professionals and the broader military and federal civilian communities gain knowledge, skills, and competencies for IRM leadership. Primary areas of concentration include policy, strategic planning, leadership/management, process improvement, capital planning and investment, performance and results-based management, technology assessment, enterprise architecture, information assurance and security, acquisition, organizational transformation, and information operations. The college offers the following programs: Chief Information Officer (CIO) Certificate Program; Advanced Management Program; Information Assurance (IA) Certificate Programs; Organizational Transformation (OT) Certificate Program; Enterprise Architecture (EA) Certificate Program; and the Information Technology Project Management (ITMP) Certificate. The Committee on National Security Systems provides the college national recognition for its curriculum in information systems security. The National Security Agency certified the college as Center of Academic Excellence in Information Assurance Education. The College also educates students as a part of the DOD Information Assurance Scholarship Program. On average, the College fills 3,235 class seats annually. The IRM College accepts approximately 278 new students annually into the CIO Certificate Program, 250 into the IA Certificate Program, 54 into the EA Program, 44 into the ITPM Program, and 50 into the OT Program.

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I. Description of Operations Financed (continued):

<u>Joint Forces Staff College</u>	<u>Dollars in Thousands</u>		
	<u>FY 2007</u>	<u>FY 2008</u>	<u>FY 2009</u>
	<u>Actual</u>	<u>Estimate</u>	<u>Estimate</u>
	14,294	15,407	15,823

The JFSC, an intermediate and senior-level joint college, educates military officers and other national security leaders in joint, multinational, and interagency teamwork, attitudes, and perspectives. The College is Congressionally mandated to educate joint leaders through three schools: the Joint Advanced Warfighting School (JAWS), the Joint and Combined Warfighting School (JCWS), and the Joint Continuing and Distance Education School (JCDES). The Joint Forces Staff College has a fourth school sponsored by the Joint Staff: the Joint Command, Control, and Information Operations School (JC2IOS). All four schools have grown in the last two years to provide joint warriors much needed education. In Academic Year (AY) 2007, JFSC had 1,221 graduates from its Joint Professional Military Education (JPME) programs, including 36 JAWS graduates who earned Master of Science degrees in Joint Campaign Planning and Strategy, 1,010 JCWS graduates, and 175 JCDES graduates. These totals include 929 active duty officers, a record high of 214 reserve component graduates, and 54 International officers. The JC2IOS had 434 graduates and continues to expand its mobile training capabilities. Additional recent efforts include the high demand one-week Homeland Security Planners Course (203 graduates) and the new Joint, Interagency, and Multinational Planners Course (126 graduates), both offered four times a year at JFSC and periodically at remote locations. The JFSC taught nonresident courses to over 2,000 students. As the requirements increase for the military to be more involved in multinational and interagency actions, the four joint schools at JFSC will continue to meet the increased demand in FY 2009.

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I. Description of Operations Financed (continued):

CAPSTONE / Pinnacle / Keystone

	<u>Dollars in Thousands</u>		
FY 2007	FY 2008	FY 2009	
<u>Actual</u>	<u>Estimate</u>	<u>Estimate</u>	
2,350	2,461	2,530	

CAPSTONE, a congressionally mandated Joint Professional Military Education program, is an intensive six-week course consisting of seminars, case studies, informal discussions, visits, to key U.S. military commands within the continental United States, and overseas field studies to areas with high U.S. interests. Overseas field studies involve interactions with the Combatant Commanders, American Ambassadors, embassy staffs, and senior political and military leaders of foreign governments. In FY 2007, Capstone educated 175 newly selected general and flag officers and selected senior civilians. Beginning with FY 2008, NDU increased the number of students to 180. Coincident with Capstone's last week, CAPSTONE offers a course for spouses of the Fellows. The Executive Development Program focuses on geo-political, international issues, with additional discussions on leadership, military family policy, and military family health. The course increases the participants' understanding of these issues and enhances their effectiveness as partners with their general/flag officer spouses. More than 120 General and flag officers' spouses attend the course.

Pinnacle focuses on two- and three-star general and flag officers and selected interagency civilians. The one-week course is held twice annually. Pinnacle conveys an understanding of national policy and objectives, with attendant international implications, and the ability to place the objectives/policy into integrated, operational campaign plans to the prospective joint/combined force commander. The overarching goal is to set conditions for future success in the joint, combined, and interagency arenas by

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I. Description of Operations Financed (continued):

using advanced knowledge of operational art to underpin the instinct and intuition of the prospective commanders. Each Pinnacle class has a maximum capacity of 15 Fellows. Funded by The Joint Chiefs of Staff, 42 Fellows completed Pinnacle in 2007. Pinnacle will have 44 Fellows in FY 2009.

The **Keystone** Course educates Command Senior Enlisted Leaders (CSEL) who are currently serving in or scheduled for a general or flag officer level joint headquarters or Service headquarters that could be assigned as a joint task force. Keystone will parallel the Capstone course for newly selected General and Flag officers in that the learning will focus on "those that do." The course will visit the Combatant Commands, Joint Task Forces, and senior leadership (both officer and enlisted) in the Washington arena to explore the relationships and challenges of operating in a joint environment. Specifically, the course will cover the relationship between the Command Senior Enlisted Leader of a Joint Force Commander and the enlisted personnel from all the services operating under the Commander. Keystone classes are two weeks long with a maximum of 45 Fellows per class. Funded by The Joint Chiefs of Staff, 88 Fellows completed Keystone in 2007; another 90 are planned for both FY 2008 and FY 2009.

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I. Description of Operations Financed (continued):

Institute for National Strategic Studies

Dollars in Thousands

<u>FY 2007</u>	<u>FY 2008</u>	<u>FY 2009</u>
<u>Actual</u>	<u>Estimate</u>	<u>Estimate</u>
7,192	7,617	7,830

The INSS is a policy research and strategic gaming organization within the NDU, serving the Department of Defense, its components, and interagency partners. The INSS provides timely, objective analysis and gaming events to senior decision makers and supports NDU educational programs in the fields of international security and defense policy. Through an active outreach program, including conferences, international exchanges, and publications, the Institute seeks to promote wider understanding of emerging international security challenges and defense policy options. Established by the Secretary of Defense in 1984, INSS is comprised of four components and two programs:

- The **Research Directorate**, which analyzes global and regional security trends and frames national security policy and defense strategy options for senior decision-makers;
- The **National Strategic Gaming Center**, which develops and facilitates numerous strategic-level policy exercises and experiential learning activities for senior Executive Branch officials, the military combatant commands, Members of Congress, and various NDU educational programs;
- **NDU Press**, which is responsible for the editorial development and production of a range of NDU Press publications, as well as Joint Force Quarterly (JFQ), published for the Chairman of the Joint Chiefs of Staff; and

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I. Description of Operations Financed (continued):

- The **Conference Directorate**, which annually organizes several major symposia and supports more than 100 other conferences, seminars, and round-tables organized by the research staff.
- The **Interagency Transformation, Education, and Analysis (ITEA)** program, delivering interagency education programs and support to a variety of DOD Components, other agencies, and the combatant commands; and
- The **Executive Strategic Gaming Initiative**, which brings together Members of Congress and senior Executive branch officials for the Strategic Policy Forum series - strategic-level exercises designed to enhance dialog and understanding of critical national security challenges. INSS is also home to the Center for the Study of Chinese Military Affairs.

Chief Information Officer

	<u>Dollars in Thousands</u>		
<u>FY 2007</u>	<u>FY 2008</u>	<u>FY 2009</u>	
<u>Actual</u>	<u>Estimate</u>	<u>Estimate</u>	
6,547	6,299	6,475	

The Chief Information Officer organization provides robust, reliable, secure, and accessible enterprise information and educational technology through enterprise services, support, and change management to achieve the National Defense University's mission, vision, and strategic goals.

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I. Description of Operations Financed (continued):

National Security Education Program

	Dollars in Thousands		
FY 2007 Actual	FY 2008 Estimate	FY 2009 Estimate	
16,700	28,700	0	

The mission of the NSEP is to equip Americans with proficiencies in less commonly taught languages and cultures critical to national security and to provide a cadre of highly qualified candidates for employment in the national security community. The NSEP is an integral component of the Department of Defense Language Transformation Plan, the Quadrennial Defense Review (QDR), and the President's National Security Language Initiative (NSLI). The NSEP represents a vital DoD investment in strategic partnerships with the U.S. education community to ensure a flow of more qualified language proficient candidates to the federal sector. The NSEP continues its vital efforts to identify and support language studies among U.S. undergraduates and graduate students and to expand opportunities for advanced language learning in the highly successful National Flagship Language Program (NFLP). The NSEP implemented a national model for language learning by entering a partnership with the University of Oregon and Portland Public Schools. This innovative, K-16 effort provided much of the foundation for the NSLI effort that began in FY 2007. FY 2007 funding provided for an expansion of the NSEP National Flagship Program, an effort that supports the President's NSLI and the QDR, by including Arabic, Chinese, and Persian languages, as well as initiating programs in Central and South Asian languages. The Pilot Civilian Linguist Reserve Corps program, an initiative that supports the NSLI and QDR, also began in FY 2007. This program provides and maintains a civilian corps of language experts in languages integral to the security of the nation. NSEP initiated a process that is designed to reach an enrollment of as many as

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I. Description of Operations Financed (continued):

2,000 students in advanced language learning by the end of the decade and a Linguist Reserve with no fewer than 1,000 certified Members.

In spring 2006, the Under Secretary of Defense, Personnel and Readiness, assumed overall authority for the program although NSEP remained administratively part of National Defense University. Effective in FY 2009, the NSEP program will transfer to the Defense Human Resources Activity of the Under Secretary of Defense, Personnel, and Readiness.

II. Force Structure Summary: N/A

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III. Financial Summary (\$ in thousands)

	<u>FY 2007</u> <u>Actuals</u>	<u>Budget</u> <u>Request</u>	<u>FY 2008</u>			<u>Current</u> <u>Estimate</u>	<u>FY 2009</u> <u>Estimate</u>
			<u>Congressional Action</u>				
<u>A. BA Subactivities</u>			<u>Amount</u>	<u>Percent</u>	<u>Appropriated</u>		
3. Training & Recruiting							
National War College	5,406	5,400	-120	-2.2	5,280	5,280	5,428
Industrial College of the Armed Forces	7,354	11,460	-153	-1.3	11,307	11,307	13,031
Informational Resources Management College	8,035	8,639	0	0	8,639	8,639	8,872
Joint Forces Staff College	14,294	15,530	-123	-0.7	15,407	15,407	15,823
CAPSTONE	2,350	2,509	-48	-1.9	2,461	2,461	2,530
Institute for National Strategic Studies	7,192	7,617	0	0	7,617	7,617	7,830
Chief Information Officer	6,547	6,606	-307	-4.6	6,299	6,299	6,475
National Security Educational Program	16,700	20,700	8,000	+38.6	28,700	28,700	0
National Defense University Operations	17,369	12,638	-524	-4.1	12,114	12,114	19,971
Total	85,247	91,099	6,725	+7.4	97,824	97,824	79,960

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III. Financial Summary (\$ in thousands)

<u>B. Reconciliation Summary</u>	<u>Change</u> <u>FY 2008/FY 2008</u>	<u>Change</u> <u>FY 2008/FY 2009</u>
Baseline Funding	91,099	97,824
Congressional Adjustments (Distributed)	8,000	
Congressional Adjustments (Undistributed)	-781	
Adjustments to Meet Congressional Intent	-40	
Congressional Adjustments (General Provisions)	-454	
Subtotal Appropriated Amount	97,824	
Fact-of-Life Changes		
Subtotal Baseline Funding	97,824	
Anticipated Supplemental Reprogrammings		
Price Changes		2,391
Functional Transfers		-21,532
Program Changes		1,277
Current Estimate	97,824	79,960
Less: Wartime Supplemental		
Normalized Current Estimate	97,824	79,960

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III. Financial Summary (\$ in thousands)

<u>C. Reconciliation of Increases and Decreases</u>	<u>Amount</u>	<u>Totals</u>
FY 2008 President's Budget Request		91,099
1. Congressional Adjustments		6,725
a. Distributed Adjustments-National Security Education Program	8,000	
b. Undistributed Adjustments		
1) Emergency & Extraordinary Expenses	-30	
2) Unobligated Balances	-751	
c. Adjustments to meet Congressional Intent		
d. General Provisions		
1) Sec 8104 - Economic Assumptions	-307	
2) Sec 8097 - Contractor Efficiencies	-147	
e. Congressional Earmarks Sec 8038 - Mitigation of Environmental Impact	-40	
FY 2008 Appropriated Amount		
2. War-Related and Disaster Supplemental Appropriations		
3. Fact of Life Changes		
FY 2008 Baseline Funding		
4. Reprogrammings (requiring 1415 Actions)		
Revised FY 2008 Estimate		97,824
5. Less: Item 2, War-Related and Disaster Supplemental Appropriations		
FY 2008 Normalized Current Estimate		97,824
6. Price Change		2,391
7. Functional Transfers - transfer of National Security Education Program to Defense Human Resources Activity		-21,532

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III. Financial Summary (\$ in thousands)

C. <u>Reconciliation of Increases and Decreases</u>	<u>Amount</u>	<u>Totals</u>
8. Program Increases		9,338
a. Annualization of FY 2008 Program (Military to Civilian Conversions)	1,000	
b. One-Time FY 2008 Increases		
c. Program Growth in FY 2009		
1) Enhance the Chairman of the Joint Chief of Staff Professional Leadership Training within the Ethics program; for supplies and materials in support of additional curriculum requirements for the Joint Professional Military Education students; and expansion of the Military to Civilian Conversion program reflecting inception of Air Force transitions (FY 2008 Baseline: 12,114).	5,338	
2) Enhance the Chairman of the Joint Chief of Staff Professional Leadership Training within CAPSTONE (PINNACLE and KEYSTONE)(FY 2008 Baseline: 2,461)	700	
3) For Industry Studies curriculum enhancement and associated increased travel for Joint Professional Military Education students, to assess the national security of the industrial sector (FY 2008 Baseline: 11,307)	2,300	
9. Program Decreases		-8,061
a. Annualization of FY 2008 Program Decreases		
b. One-Time FY 2008 Increases - Congressional add for National Security Education Program	-8,000	

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III. Financial Summary (\$ in thousands)

C. Reconciliation of Increases and Decreases

c. Program Decreases in FY 2009 - rental decrease based on
elimination of leased space
FY 2009 Budget Request

<u>Amount</u>	<u>Totals</u>
-61	79,960

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IV. Performance Criteria and Evaluation Summary

The NDU has identified the following values as keys to preparing military and civilian leaders from the U.S. and other countries to address national and international security challenges, and aligned its university-wide strategic goals and performance objectives with these values:

- **Academic Freedom** - A climate that promotes and protects free expression, analysis, and intellectual exchange.
- **Collegiality** - A nurturing community that promotes and rewards cooperation and collaboration.
- **Diversity** - An environment that embraces diverse people, ideas, and cultures.
- **Excellence** - An institution that recognizes and rewards superior performance, innovation, and creativity.
- **Growth and Development** - An environment that fosters intellectual and physical well being.
- **Integrity** - An organizational culture based on openness, honesty, trust, and ethical conduct.

Academic Programs

Strategic Goal: Provide academic programs that respond to the evolving needs of the national security community.

Objectives:

- 1) Develop and teach academic programs that are relevant and current.
- 2) Conduct high quality academic programs that include appropriate content, rigor, and depth.

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IV. Performance Criteria and Evaluation Summary

3) Ensure all academic programs are meeting the intended purpose, focused on continuous improvement, and contributing to national security.

Strategies:

- Maintain close relationship with sponsors, students, graduates, and user communities to ensure program goals are met
- Assess new programs to ensure adequate funding, congruency with university mission areas, and effective program development
- Internally assess new and existing programs at both the University and Component levels (involving administration, faculty, and students) to ensure they meet the need and are high-quality and effective
- Ensure accountability and effectiveness with external sponsoring and academic communities from both a content and qualitative perspective
- Assess program outcomes by the user community and graduates.

Performance Measures:

- Percentage internal education/research programs tied to a documented national security need and sponsor
- University and its programs maintain all required internal and external certifications and accreditations
- University maintains accountability for meeting mission requirements as evidenced in reports to the Chairman, Joint Chiefs of Staff, other stakeholders, and internal University-level assessments
- Percentage graduates/supervisors and/or user community that believes NDU academic programs/products increased their ability to meet national security challenges
- Percentage of new curriculum, research, and outreach initiatives meeting university-level academic targets as outlined in program plans

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IV. Performance Criteria and Evaluation Summary

External Factors:

- Middle States Association of Colleges & Schools (Standards of Excellence)
- Middle States Report of Findings
- JCS guidance & Joint Professional Military Education Criteria (CJSCI 1801B)
- Program for the Accreditation of Joint Education (PAJE) Report of Findings
- Public Law (Title 10 USC, Subtitle A, Part III, SEC 2165)
- Office of the Secretary of Defense guidance & funding documents
- National Security Strategy

Office of Primary Responsibility: Academic Affairs

Institutional Communications

Strategic Goal: Develop and implement a comprehensive internal and external institutional communications program between the university and its audiences to increase awareness of the university and to support accomplishment of its mission.

Objectives:

- 1) Develop effective and efficient two-way communications between leadership, faculty, staff, and students to ensure and facilitate exchange of information in support of university and component missions.
- 2) Inform, influence, and persuade attentive national and international audiences regarding issues of import in a manner that supports the university's mission.
- 3) Establish and maintain effective two-way communications with stakeholders and influential audiences in a manner that supports the University vision and mission.

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IV. Performance Criteria and Evaluation Summary

Strategies:

- Review communications structures and methods and assess current effectiveness in order to develop communications approaches
- Review and define potential audiences
- Define messages
- Define communications tools
- Develop an institutional communications (public affairs) plan

Performance measures:

- Number of products produced.
- Quality, attractiveness, accuracy, and consistency of products produced.
- Actions or responses from the intended audiences.

External factors:

- Resource commitment and tasking to the public affairs office
- Laws, policies, and regulations
- Freedom of the press issues
- Academic freedom issues
- The national security environment and related strategies

Office of Primary Responsibility: Public Affairs

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IV. Performance Criteria and Evaluation Summary

Information Technology

Strategic Goal: Leverage the use of information technology to improve the effectiveness and efficiency of NDU programs and operations.

Objectives:

- 1) Ensure information technology (IT) products and services effectively and efficiently support NDU goals and mission accomplishment
- 2) Provide responsive customer support to NDU employees and students
- 3) Continuously improve information infrastructure to support evolving NDU requirements

Strategies:

- Provide secure, responsive, sustainable, and redundant network and systems that are responsive to changing information technology needs and maintain "state of the market" industry standards
- Continuously improve customer service
- Implement a formal IT governance structure for NDU to improve IT decision-making
- Provide clear IT policies and procedures
- Maintain effective relationships with all NDU Directorates and Components and work collaboratively with them to develop innovative solutions to meet the changing needs of the University

Performance Measures:

- NDU network and systems are certified and accredited
- IT products and services meet customer needs
- IT governance structure is implemented and operating to improve IT decision-making
- IT policies and procedures are published for easy access by employees and students
- Mean-time between failures for the information infrastructure

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IV. Performance Criteria and Evaluation Summary

- Number of authorized personnel who are able to gain access to the NDU information infrastructure when the need to, regardless of location.
- Monthly basic support performance reports
- Quarterly performance goal reports
- Compliance with continuous or specific dates in the Information Strategic Action Plan (ISAP2)

External Factors:

- Federal and DoD policies, rules, and regulations, particularly those related to information assurance and security
- Funding levels
- Threats to the IT infrastructure, systems and data
- Technological change and advances
- The information technology workforce
- Technological change and advances
- Changes in policy
- Changes in funding from external sources
- Changes in information assurance and security guidance

Office of Primary Responsibility: Chief Information Officer

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IV. Performance Criteria and Evaluation Summary

Human Resources (HR)/ Development

Strategic Goal: Recruit, develop, and retain the highest quality and diverse faculty and staff.

Objectives:

- 1) Effective Human Resources Policy Development/Management in support of NDU goals and mission accomplishment
- 2) Effective Personnel Management in support of NDU goals and mission accomplishment
- 3) Effective Personnel Administration in support of NDU goals and mission accomplishment
- 4) Responsive Customer Support to NDU employees
- 5) Effective Mail Distribution in support of NDU mission accomplishment
- 6) Quality Support to Long-term Students (ICAF, NWC and JFSC)
- 7) Effective Management Control Program
- 8) Effective HR Information Systems Technology

Strategies:

- Develop a formal university HR Steering Board
- Develop the NDU Human Capital Management Plan
- Develop an employee survey system to capture trends, perceptions, etc.
- Develop a customer service survey system
- Develop a formal training needs assessment/methodology/system for employees and managers.
- Prepare for and conduct a smooth transition to National Security Personnel System (NSPS)
- Continuously examine (directed and self-initiated) and improve our policies and processes in order to achieve dependable and customer-oriented practices in Human Resource Management

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IV. Performance Criteria and Evaluation Summary

- Maintain effective relationships with all NDU Directorates and Components and work collaboratively with them to develop innovative solutions to meet the changing needs of the University
- Plan recruitment and retention in order to meet mandated faculty to student ratio and faculty service mix

Performance Measures:

- The university has implemented a comprehensive human capital master plan that is sound, rational, vetted through components, and continuously reviewed
- NDU components are collaborated with and have a voice in shaping human capital policies
- Manning levels meet the needs of NDU management/components
- Internal university personnel are satisfied that services are adequate and focused on the user
- NDU personnel data are reliable, accurate and accessible via automated systems
- Accreditation maintained

External Variables:

- Implementation of NSPS
- Federal rules and regulations & HR case law
- Service rules, practices and strategies
- Office of Personnel Management inspections
- Accreditation guidelines
- Economy / local hiring market

Office of Primary Responsibility: Human Resources

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IV. Performance Criteria and Evaluation Summary

Resource Management

Strategic Goal: Improve financial management through performance and budget integration.

Objectives:

1. Ensure full implementation of University-wide Performance Based Budgeting
2. Improve financial management accuracy throughout the University through a better understanding of the complete cost of our programs
3. Provide responsive support to internal and external Resource Management Directorate customers

Strategies:

- Provide clear policies and procedures to ensure effective Resource Management and Execution
- Ensure funds are distributed to components based on detailed execution plans
- Ensure execution plans are based on scheduled/planned documented mission tasking
- Ensure cost estimates for mission activities are based on detailed, accurate data and are updated annually and as needed
- Ensure components explain deviations from their execution plans
- Ensure reimbursable accounts are managed per the Financial Management Regulation
- Ensure all OSD budget exhibits are accurate and submitted on time
- Ensure an effective internal control program is maintained
- Ensure timely submission of manpower changes into Table of Distribution
- Ensure quality execution of fiscal resources through systems accounting

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IV. Performance Criteria and Evaluation Summary

Performance Measures:

- NDU Financial execution plan established each fiscal year
- Percent of components with approved execution plans in place at the start of fiscal year
- Accuracy and timeliness of financial exhibits submitted to OSD/Comptroller
- Percent of programs with accurate (and annually updated) cost estimates
- Percent of NDU elements complete with Defense Travel System implementation (100 percent of group travel accomplished using DTS within one year software release and implementation)
- All card-holder data accurately recorded and properly filed
- Percent of Centrally Billed Account (CBA) statements complete and accurate prior to submission)
- Number of Government Travel Cards suspended
- Percent participation in annual OSD Internal Control Program (ICP) process
- Percent of components receiving annual ICP training
- Green or above rating by OSD for NDU ICP process

External Factors:

1. Accreditation processes
2. OSD as a source of reimbursable tasks
3. Non-DOD government entities as sources of reimbursable tasks
4. OUSD/C for direction and oversight of the financial management process
5. Congressional interest in NDU
6. Government Performance and Results Act

Office of Primary Responsibility: Resource Management

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IV. Performance Criteria and Evaluation Summary

Facilities and Infrastructure

Strategic Goal: Provide high quality facilities and services that anticipate evolving university missions

Objectives:

- 1) NDU components have priority for facility usage and a standardized method of acquiring and using space throughout the university.
- 2) Internal university personnel are satisfied that services are adequate and user-focused.
- 3) Proper space utilization in accordance with established policies and regulations.

Strategies:

- Develop a formal process whereby appropriate modifications in the physical plant reflect evolving university missions. Key stakeholders must be a part of this process to include: Department of Academic Affairs, School Deans, CIO, Resource Management Directorate, Operations Directorate, and Command Group.
- Increase strategic advantage of existing campus facilities.
- Optimize the balance between physical (local and deployed) programs and virtual/distributed learning offerings.
- Pursue conduct of NDU activities worldwide.
- The university has a comprehensive facility master plan that effectively manages current operations and addresses future needs.
- A coordinated facility master plan (a formal framework) is developed and tracked to identify current resources and use, projected future needs, and a timeline for development of new requirements.
- Develop a facility usage chart (with intranet visibility) with sign-up capability.

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IV. Performance Criteria and Evaluation Summary

Performance Measures:

- Measure ideal vs. actual space use at regular intervals and upon major changes.
- Accreditation.
- Percentage of university personnel satisfied with services. Action plan developed for deficiencies.

External Variables:

- Availability of resources to implement integrated plan (some money, but mostly labor).
- New missions or significant changes in existing ones.
- Changes imposed by external agents (Fort Myer Military Community, Naval Base Norfolk).
- Changes in interface with adjacent communities (DC, Norfolk).
- Changes in technology, particularly communications/Audio Visual.
- Changes in applicable codes, laws, and regulations.
- Levels of external support, particularly for maintenance and services.

Office of Primary Responsibility: Engineering

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V. Personnel Summary	<u>FY 2007</u>	<u>FY 2008</u>	<u>FY 2009</u>	Change	
				<u>FY 2007/ FY 2008</u>	<u>FY 2008/ FY 2009</u>
<u>Active Military End Strength (E/S)</u>	265	255	232	-10	-23
(Total)					
Officer	176	181	172	+5	-9
Enlisted	89	74	60	-15	-14
<u>Reservists on Full Time Active Duty (E/S)</u>	8	10	10	+2	0
Officer	8	10	10	+2	0
Enlisted	0	0	0	0	0
<u>Civilian End Strength (Total)</u>					
U.S. Direct Hire	490	557	580	+67	+23
Foreign National Direct Hire	0	0	0	0	0
Total Direct Hire	490	557	580	+67	+23
Memo: Reimbursable Civilians Included	91	132	132	+41	0
<u>Active Military Average Strength (A/S)</u>	265	255	232	-10	-23
(Total)					
Officer	176	181	172	+5	-9
Enlisted	89	74	60	-15	-14
<u>Reservists on Full Time Active Duty (A/S)</u>	8	10	10	+2	0
(Total)					
Officer	8	10	10	+2	0
Enlisted	0	0	0	0	0
 <u>Civilian FTEs (Total)</u>					
U.S. Direct Hire	477	542	565	+65	+23
Foreign National Direct Hire	0	0	0	0	0
Total Direct Hire	477	542	565	+65	+23
Foreign National Indirect Hire	0	0	0	0	0
Memo: Military Technician Included	0	0	0	0	0
Memo: Reimbursable Civilians Included	100	126	126	+26	0
Average Annual Civilian Salary (\$ in thousands)	\$117.1	\$116.8	\$118.5	-0.3	+1.8

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VI. OP 32 Line Items as Applicable (Dollars in thousands):

<u>OP 32 Line</u>	<u>FY 2007</u>		<u>Program</u>	<u>FY 2008</u>		<u>Program</u>	<u>FY 2009</u>
	<u>Actuals</u>	<u>Price</u>		<u>Estimate</u>	<u>Price</u>		<u>Estimate</u>
101 Executive, Gen'l & Special Schedules	43,594	1,308	3,144	48,046	1,465	1,935	51,446
103 Wage Board	538	16	0	554	17	2	573
106 Benefits to Former Employees	33	0	-33	0	0	0	0
199 Total Civilian Personnel Comp	44,165	1,324	3,111	48,600	1,482	1,937	52,019
308 Travel of Persons	3,555	68	0	3,623	72	1,495	5,190
399 Total Travel	3,555	68	0	3,623	72	1,495	5,190
416 GSA Managed Supplies & Materials	417	8	0	425	9	-1	433
499 Ttl Fund Supplies & Materials Purch	417	8	0	425	9	-1	433
507 GSA Managed Equip	1,388	26	0	1,414	28	1	1,443
599 Total Fund Equip Purchases	1,388	26	0	1,414	28	1	1,443
633 Def. Pub & Printing Service	667	13	0	680	-29	43	694
673 Defense Financing & Accounting Svce	0	0	450	450	-23	4	431
699 Total DFAS Services	677	13	450	1,130	-52	47	1,125
771 Commercial Trans	81	2	0	83	2	0	85
799 Total Trans	81	2	0	83	2	0	85
912 Rental Payments to GSA (SLUC)	68	1	-9	60	1	-61	0
914 Purchased Communications (Non-Fund)	1,749	33	0	1,782	36	-1	1,817
917 Postal Services (U.S.P.S.)	43	0	0	43	0	0	43
920 Supplies & Material	2,821	55	-25	2,851	57	566	3,474
921 Printing & Repro	336	5	0	341	7	-1	347
922 Equip Maintenance by contract	192	4	0	196	4	0	200

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<u>OP 32 Line</u>	<u>FY 2007</u>			<u>FY 2008</u>			<u>FY 2009</u>
	<u>Actuals</u>	<u>Price</u>	<u>Program</u>	<u>Estimate</u>	<u>Price</u>	<u>Program</u>	<u>Estimate</u>
923 Facility SRM	358	7	0	365	7	1	373
925 Equip Purchase (Non-Fund)	1,312	25	0	1,337	27	-2	1,362
932 Mgt & Professional Support Services	21,264	404	7,023	28,691	574	-24,235	5,030
937 Locally Purchase Fuel	1	0	0	1	0	0	1
989 Other Contracts	6,541	130	-85	6,586	131	-1	6,716
998 Other Costs	289	7	0	296	6	0	302
999 Total Other Purchases	34,974	671	6,904	42,549	850	-23,724	19,665
Total	85,247	2,112	10,465	97,824	2,391	-20,255	79,960

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