

NATIONAL TEST PILOT SCHOOL



POLICY MANUAL

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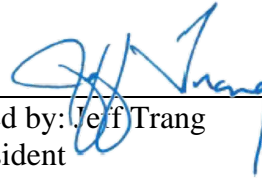
Signature Sheet



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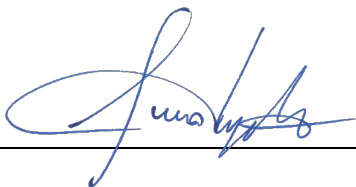
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Record of Changes

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Revision 4	Luca Campello	1 November 2023

List of Changes

The following changes were made to this revision of this document (this list does not include administrative changes):

Rev.	Date	Summary of Major Changes
I.I.	19 February 2016	Initial Issue
Rev. 1	25 May 2016	Admin & Format changes
Rev. 2	1 July 2018	The following paragraphs have been modified: 1.2.1 Organizational Structure, 1.2.2 Board of Trustee, 1.2.3 Role of Management, 1.3.3 Policy on Romantic and Kinship Relationship, 1.3.4 Conflict of Interests 2.2.3 Privacy of company Records, 2.3.3.4 Fundraising and Donations, 2.3.5.3 Physical Asset Control 3.1.1 Employee Code of Conduct, 3.2.2 Recruitment, 3.2.3 Classifications of Positions 3.2.4 Faculty Position Description, 3.2.5 Personnel Requirements – Instructors & Staff 3.4.3 Overtime, 3.5.2 Vacation (PTO), 3.7.1 Performance Appraisals, 3.7.2 Potential Assessment Criteria 4.1.3 Passwords 5.1.3 Faculty Council, 5.2.4 Catalog, 5.4.2 Course Management, 5.4.3 Scheduling Classes 5.4.5 Capstone Project, 5.5.3 Transcript Analysis, 5.6.4 Grading System 6.2.8 Student Absences, 6.2.9 Language 7.1.1 Research
Rev. 3	1 October 2021	The following paragraphs have been modified: 1.1.1 Update NTPS mission 1.2.3 The Role of Management 3.5.2 Vacation (PTO) 5.6.4 Grading System Review duties of CEO and President
Rev. 4	1 November 2023	Para 1.3. Organizational Structure Para 1.4 NTPS Institutional Strategic Planning Para 1.5 Community Para 2.4 Compliance Monitoring Management Para 3.1 General Human Resources Para 3.2 Employment Para 3.4 Compensation & Benefits Para 3.5 Leave Para 3.6 Other Para 3.7 Performance Evaluations

All changes are marked with a vertical bar in the margin next to the change.

Distribution List

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List of acronyms

ABET	Accreditation Board for Engineering and Technology
ADA	Americans with Disabilities Act
AF	After Flight Report
AIAA	American Institute of Aeronautics and Astronautics
ASME	American Society of Mechanical Engineers
BPPE	Bureau for Private Postsecondary Education
CAO	Chief Academic Officer
CC	Course Coordinator
CEO	Chief Executive Officer
CFI	Certified/Chief Flight Instructor
CFO	Chief Financial Officer
CFR	Current Federal Regulations
CMM	Compliance Monitoring Manager
COBRA	Consolidated Omnibus Budget Reconciliation Act
COO	Chief Operating Officer
CPA	Chief Public Accountant
CTO	Chief Technical Officer
DCT	Directorate of Defense Trade Controls
DG	Distinguished Graduate
DHHS	Department of Health and Human Services
DTC	Department of Trade Controls
EASA	European Aviation Safety Agency
EEO	Equal Employment Opportunity
EM	Engineering Memo
EO/IR	Electro-Optic/Infra-Red
ER	Engineering Report
FAA	Federal Aviation Administration
FERPA	Family Rights and Privacy Act
FRI	Flight Research International
FTE	Flight Test Engineer
FW	Fix Wing
Part-FCL	Part-Flight Crew Licensing
FICA	Federal Insurance Contributions Act
GA	Graduate Assistants
GED	General Education Development
GPA	grade point average
GVT	Ground Vibration Test
HAI	Helicopter Association International

HIPAA	Health Insurance Portability and Accountability
HT	Head of Training
IAC	Industry Advisory Committee
ICAO	International Civil Aviation Organization
IEEE	Institute of Electrical and Electronics Engineers
ILAR	Institute of Laboratory Animal Resources
IPA	Information Practices Act
IR	Interim Report
ITAR	International Traffic in Arms Regulations
M&I	Meals and Incidentals
MSFTE	Master of Science in Flight Test Engineering
MSFT&E	Master of Science in Flight Test and Evaluation
NFTI	National Flight Test Institute
NTPS	National Test Pilot School
NVG	Night Vision Goggles
PD	Proposal Document
PKI	Public Key Infrastructure
PTO	Personal Time Off
OHRP	Office of Human Research Protections
OM	Operation Manual
OMM	Organizational Management Manual
OT&E	Operational Test & Evaluation
P&FQ	Performance & Flying Qualities
IRS	Internal Revenue Service
ROKAF	Republic of Korea Air Force
RW	Rotary Wing
SEPT	Society of Experimental Test Pilots
SFA	Student Financial Aid
SFTE	Society of Flight Test Engineers
TAA	Technical Assistance Agreement
TM	Test Management
TP	Test Plan
TR	Test Report
TOEFL	Test of English as a Foreign Language
TRB/SRB	Test Review Board/ Safety Review Board
USDA	U.S. Department of Agriculture

Overview

The purpose of this policy is to establish clear guidelines for the conduct of all National Test Pilot School (NTPS) employees and to provide guidance for all other processes and procedures that follow from the Policy ensuring that NTPS vision is met using the highest standards of quality. As such, the NTPS Policy will supersede all other documentation if a conflict should arise. The NTPS Policy is intended to be descriptive, rather than prescriptive, and detailed procedures can be found in other documents such as the Organizational Management Manual, Safety Management Manual, the Operations Management Manual or NTPS Curriculum & Syllabus. In summary, the NTPS Policy describes 'what' needs to be done at NTPS while the other documents describe 'how' things will be done at NTPS (procedures). NTPS Personnel are therefore advised to read and understand the NTPS Policy and to take note of any changes that may occur.

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1. Management

1.1 Introduction

1.1.1 Purpose, Scope, Policy Statement Responsibility
<p>Purpose</p> <p>This document explains the purpose, scope, the policy statement, and the responsibility of the NTPS Policy.</p>
<p>Applicability</p> <p>All faculty, staff and students</p>
<p><i>Purpose</i></p> <p>The purpose of this policy is to establish clear guidelines for the conduct of all NTPS employees and to provide guidance for all other processes and procedures that follow from the Policy ensuring that NTPS vision has met using the highest standards for quality. These guidelines and guidance will ensure that all employees understand their rights and responsibilities, and that the company's operations are conducted in a fair, consistent and excellent manner.</p> <p><i>Scope</i></p> <p>This policy applies to all employees of the company, regardless of their position or level of seniority. It also applies to any contractors or temporary staff working for the company.</p> <p><i>Policy Statement</i></p> <p>NTPS is committed to providing a safe, fair, and respectful work environment for all employees and is dedicated to providing high-quality products and services to its customers. All employees are expected to adhere to the policies outlined in this document and to always conduct themselves in a professional and ethical manner.</p> <p><i>Responsibility</i></p> <p>It is the responsibility of all employees to read and understand this policy. Any questions or concerns regarding this policy should be directed to the Human Resources department. The company's management is responsible for ensuring that this policy is implemented and enforced.</p>

1.1.2 Policy Revision
<p>Purpose</p> <p>This policy sets out the guidelines for revisions of the NTPS Policy</p>
<p>Applicability</p> <p>All staff and faculty.</p>
<p>Policy</p> <p>The NTPS Policy must be reviewed, revised as appropriate, and approved at a minimum every 5 years, however modifications may be proposed at any time. To document the revision of a policy the revision date of this document must also be updated.</p> <ul style="list-style-type: none">• Any employee may propose a change to the NTPS Policy. All proposals or suggestions should be made to the President or to the Human Resources department.• The President or the Human Resources will propose the change to the CEO for an approval.• Establishment of the effective date of a new or revised policy or procedure must not be arbitrary. Factors such as a reasonable transition period from a long-term practice, availability of forms, necessity for implementation by all branches at the same time, etc. should be considered.• Upon approval, the Compliance Monitoring Manager will coordinate the distribution of the new materials and act as custodian of all official signed procedures. <p>Any revisions to this policy will be communicated to all employees through the company's internal communication channels.</p>
<p>References</p>
<p>Cross References</p>

1.2 Mission and Objective

1.2.1 Mission, Values, Goals & Objectives
<p>Purpose</p> <p>This document explains the mission and objectives of the National Test Pilot School.</p>
<p>Applicability</p> <p>All faculty, staff, and students</p>
<p>Policy</p> <p><i>Mission</i></p> <p>The mission of the National Test Pilot School is to educate and train military and civilian aviation personnel so that each graduate enhances aviation knowledge, increases flight test competency, and improves aviation safety world-wide. Our mission is primarily accomplished through our professional courses and masters’ programs that provide graduate level flight test education and training to test pilots and flight test engineers who learn to safely and effectively plan, execute, and report on flight test programs for their military or civilian organizations. Our mission is further accomplished through NTPS' continuing education programs, flight test-related research programs, short courses and flight test support activities that increase competency, safety, and the breadth of knowledge in the aviation and flight test professions.</p> <p><i>Values</i></p> <p>NTPS is committed to our core values of honesty, integrity, objectivity, safety, teaching, mentoring, teamwork, and the continuous pursuit of knowledge and excellence.</p> <p><i>Goals</i></p> <p>Our goal at NTPS is to educate and train, to the highest-level, Test Pilots and Flight Test Engineers. Upon successful completion of the program, they will be capable of participating immediately in either a military or civilian developmental, certification or acceptance flight test program. NTPS provides a unique educational program applicable to a diverse student population. Our students, drawn from the worldwide aerospace community, have achieved a high level of maturity as pilots, engineers and managers.</p>

1.2.1 Mission, Values, Goals & Objectives

NTPS is committed to the fundamental values of honesty, integrity, respect for others, and the pursuit of truth and excellence.

To address the high level of technical and academic requirements of this unique field of applied aeronautics, NTPS has defined academic and professional goals in the area of Flight Test Engineering at the graduate level. These include:

- The development of insight in, and understanding of, the fundamental ideas and methods of applied mathematics, physical science, and engineering;
- The scientific application of this knowledge to solution of real-world problems;
- The advancement of aeronautical science;
- The development of skills in effective management, reporting and communication; and
- An enhanced awareness of the scope and responsibility of the Flight Test Professional's role in aircraft development and design, and his or her ultimate contribution to the airworthiness and mission capability of the air vehicle under development and test.

Program Educational Objectives

Within a few years of graduation, NTPS Master of Science in Flight Test Engineering alumni can be expected to:

- Demonstrate increasingly highly specialized communications skills required to execute safety critical tests in flight and in the control room.
- Successfully integrate the roles of a Flight Test Engineer throughout the aircraft/system design, development and testing process.
- Validate the airworthiness and mission capability of an air vehicle and/or system.
- Attain positions with increasing responsibilities in managing developmental flight test projects.
- Advance the flight test and evaluation discipline through reports, professional papers, journal articles, and/or symposia presentations.

1.2.2 Origins of the National Test Pilot School
<p>Purpose</p> <p>This policy documents the history and origins of the National Test Pilot School.</p>
<p>Applicability</p> <p>All staff, faculty and students of NTPS</p>
<p>Policy</p> <p>The National Test Pilot School (NTPS) was incorporated in California, in 1981, as a non-profit, independent educational institution. The National Flight Test Institute (NFTI) was formed in 1994 and is the research division of the NTPS. In 1995 NTPS was approved by the State of California to award a Masters in Flight Test and Evaluation to test pilot and flight test engineering graduates of its Professional Course. In 1998 NTPS created an Academic Track, offering a Master of Science in Flight Test and Evaluation to prepare students for a variety of managerial, technical, and support roles in flight testing. This change was to cater to a pool of potential students in the worldwide aerospace industry directly or indirectly involved in flight testing who do not necessarily have flying duties. To facilitate the creation of the Academic Track, NTPS revamped its program in 1998 by organizing its Professional Course offerings in a modular form, enabling students who select the Academic Track to attend classes with Professional Track students but on a more flexible basis and at modest cost. Academic Track students do not participate in the modular flying exercises; rather they use that time for thesis research and preparation. On 22 December 2022 NTPS acquired all assets of the Flight Research, Inc. entities along with their team which was integrated into NTPS as Flight Research International, LLC (“FRI”), a wholly owned not for profit subsidiary of NTPS.</p>
<p>References</p>
<p>Cross References</p>

1.3 Organizational Structure

1.3.1 Organizational Structure
Purpose This policy documents the Organizational Structure of the National Test Pilot School.
Applicability All staff, faculty and students of NTPS
Policy The Organizational structure is described in: <ul style="list-style-type: none">• NTPS Policy Manual: high level structure and its components (Board of Trustees (BoT), Chief Executive Officer, NTPS President and FRI President)• Organizational Management Manual: all the NTPS positions are described and the associated chain of command. <pre>graph TD; A[Board of Trustees] --> B[Chief Executive Officer]; B --> C[NTPS Enterprise Staff]; B --> D[National Test Pilot School President]; B --> E[Flight Research International President];</pre>

1.3.1 Organizational Structure

The Chief Executive Officer (CEO), NTPS President and FRI President are appointed by the BoT and recorded in a Boarded of Trustee meeting’s minutes.

All the other positions are proposed by the NTPS President or FRI President and approved by the CEO and recorded in a CEO’s memo.

References

Cross References

1.3.2 The Board of Trustees
<p>Purpose</p> <p>The Board of Trustees is the governing body of the National Test Pilot School.</p>
<p>Applicability</p> <p>The Board of Trustees, all faculty and staff of NTPS.</p>
<p>The Board of Trustees (the Board, or “BoT”) is the governing body of the School, managing its affairs and granting and conferring such academic degrees and honors as permitted by the State of California.</p> <p>The duties and other regulations relating to the BoT are detailed in the Bylaws of the National Test Pilot School.</p>
<p>References</p> <p>Bylaws of the National Test Pilot School</p>

1.3.3 The Role of Management

Purpose

This section describes the role, the duties, and responsibilities of the CEO, NTPS President and FRI President.

Applicability

All faculty, staff and students

Policy

Chief Executive Officer

The CEO is appointed by the Board of Trustees and reports directly to the Board.

- a) Reports to: NTPS Board of Trustees
- b) Desired Qualifications:
 - A technical or business Master's Degree;
 - Graduate of recognised Test Pilot School (TPS).
- c) Responsibilities:
 - execute the directions of the Board of Trustees;
 - serve as a voting member of the Board of Trustees;
 - oversee that the mission statement of NTPS is achieved;
 - oversee the safety management in accordance with the NTPS Safety Management Manual;
 - develop and execute strategic planning in conjunction with the Board of Trustees;
 - develop and oversee financial planning in conjunction with the Chief Financial Officer and Presidents of NTPS and FRI;
 - oversee fiscal management and financial processes in accordance with this Policy;
 - oversee the management system, the compliance management and the update of NTPS documents;
 - develop and oversee personnel planning in conjunction with the NTPS and FRI Presidents;
 - assign the organizational positions to employees;
 - oversee the overall NTPS activities;
 - oversee Business Development and Marketing;
 - represent NTPS at various functions and activities;
 - meet with potential clients to recruit future students;
 - other duties as assigned by Board of Trustees.

1.3.3 The Role of Management

NTPS President

The NTPS President is appointed by the Board of Trustees and report directly to the CEO.

- a) Reports to: CEO
- b) Desired Qualifications:
 - A technical or business master's degree is required;
 - Graduate of recognised TPS.
- c) Responsibilities:
 - execute the directions of the CEO;
 - serve as a non-voting member of the Board of Trustees;
 - oversee that the mission statement of NTPS is achieved;
 - ensure that the day-to-day operations of NTPS are safe, effective, and efficient;
 - responsible for safety management in accordance with the NTPS Safety Management Manual;
 - develop and execute tactical planning for NTPS in conjunction with the CEO;
 - works with the Chief Financial Officer (CFO) to execute fiscal management and financial processes in accordance approved procedures;
 - maintain an effective management system to accomplish the required NTPS activities;
 - ensure compliance with all NTPS procedures;
 - represent NTPS at various functions and activities;
 - meet with potential clients to recruit future students;
 - other duties as assigned.

FRI President

The FRI President is appointed by the Board of Trustees and report directly to CEO.

- a) Reports to: CEO
- b) Desired Qualifications:
 - Business Master's degree.
 - Demonstrated small business profit and loss management experience, business development and marketing experience.
 - Experience with aviation operations, such as maintenance, test support, and training.
- c) Responsibilities:
 - execute the directions of the CEO;

1.3.3 The Role of Management

- oversee that the mission statement of NTPS is achieved;
- ensure that the day-to-day operations of NTPS are safe, effective, and efficient;
- responsible for safety management in accordance with the NTPS Safety Management Manual;
- develop and execute tactical planning for NTPS in conjunction with the CEO;
- works with the CFO to execute fiscal management and financial processes in accordance approved procedures;
- maintain an effective management system to accomplish the required NTPS activities;
- ensure compliance with all NTPS procedures;
- represent NTPS at various functions and activities;
- meet with potential clients to recruit future students;
- other duties as assigned.

References

Cross References

1.3.4 Statutory Provisions

Purpose

This policy sets out the statutory provisions that apply to the National Test Pilot School (NTPS).

Applicability

All faculty, staff and students

Policy

Corporate Name and Power

The school is incorporated and created a body politic, and shall be known by the name of the “National Test Pilot School” and by that name shall have:

- 1) perpetual succession;
- 2) power to sue and be sued;
- 3) complain and defend in all courts;
- 4) to make and use a common seal, and to alter the same at pleasure;
- 5) to take, purchase and to sell, convey and otherwise dispose of lands and chattels;
- 6) to act as trustee in all cases in which there be a gift of property or property left by will to the school or for its benefit or for the benefit of students of the School;
- 7) to sell and appropriate real estate or other property, or any interest therein, for any public purpose within the scope of its organization.

References

Cross References

1.4 NTPS Institutional Strategic Planning

1.4.1 NTPS Institutional Strategic Planning Process
<p>Purpose</p> <p>The National Test Pilot School is dedicated to supporting and maintaining a scholarly community which is free from discrimination and harassment. This document states NTPS policy on nondiscrimination.</p>
<p>Applicability</p> <p>The BoT, CEO, and NTPS/FRI leadership.</p>
<p>Policy</p> <p>NTPS develops, reviews, and maintains detailed near-term yearly plans for two years, and 5-year strategic plans. All near-term planning is accomplished to support specific objectives of the 5-year strategic plan.</p> <p>The NTPS planning and plan approval process is multi-phased as described below.</p> <p>Phase 1: The CEO, in conjunction with other key NTPS and FRI leadership team members review and update the 5 year plan and the near-term yearly planning to account for progress, relevance, and new information. The CFO and other leaders collaborate to develop the upcoming year’s financial operating forecast and budget, based upon the business forecasts provided by the NTPS and FRI business development teams.</p> <p>Phase 2: The Institutional Strategic Plan is normally reviewed, discussed, and revised as required at a face-to-face Board of Trustees Meeting normally during the 3rd Fiscal Year Quarter Board of Trustees Meeting.</p> <p>Phase 3: Following the meeting and after review and revision, the plan is approved by the Board of Trustees prior to the end October of the executing year. This schedule is required so that the CEO and corporate leadership team can build the following year’s budget utilizing the current Board of Trustees guidance.</p> <p>Phase 4: Following approval, the CEO proceeds to implement the plan.</p> <p>Phase 5: The plan is again formally reviewed and discussed during the Board of Trustees meetings for oversight and course correction as required throughout the remainder of the year. The CEO has overarching responsibility for implementation of the approved Institutional Strategic Plan (The Plan) across the NTPS Enterprise. The CEO collaborates with and delegates daily execution responsibility of The Plan to the NTPS and FRI Presidents with</p>

1.4.1 NTPS Institutional Strategic Planning Process

support from the corporate staff The CEO, Corporate Staff and the NTPS and FRI leadership teams strive to make successful progress on the 5-year plan.

References

Cross References

1.4.2 Financial Management, Process, Statements and Audit

Purpose

To ensure appropriate fiscal oversight and management, this policy sets out the process for financial management, financial process, financial statements and the annual financial audit.

Applicability

BoT, CEO, CFO, and Presidents

Policy

Financial Management

The Board of Trustees is responsible for the fiscal oversight of NTPS and has delegated the authority for fiscal management to the CEO of NTPS to ensure all NTPS activities can be financed as required to meet the school's mission.

NTPS is incorporated by the state of California as a nonprofit public benefit organization. NTPS consists of two nonprofit business units: the National Test Pilot School and Flight Research International, LLC, a wholly owned nonprofit subsidiary of NTPS. The nonprofit status is based upon the mission as a Nonprofit Public Benefit Organization. Revenue received from both business units must be "Related Business Income" to be classified as nonprofit. Non-Related Business Income is acceptable, as long as it does not exceed the threshold allowed as a percentage of total revenue but may be taxable. NTPS strives to perform only Related Business but may conduct a percentage of Non-Related Business Income (NRBI), nominally less than 15% of total revenue, if the NRBI is in the interest of NTPS' stated mission. The NTPS Fiscal Year (FY) begins on January 1 and ends on December 31.

Revenue is generated by both NTPS and FRI. NTPS is a non-traditional graduate level education institution in terms of the financial and budgeting processes. There are three primary reasons for this difference:

- 1) As an education and training institution of higher learning that focuses on aviation, NTPS uses a significant number of high-value aviation and aviation related assets, the annual expenses of which are extremely high in relation to the number of students enrolled at the school at any one time. This results in high prices for all but the "academic- only" courses.
- 2) Due to the high cost of highly specialized aviation training and the existence of alternative military test pilot schools, there is a relatively small population of potential Test Pilot and Flight Test Engineer students in the world every year.

1.4.2 Financial Management, Process, Statements and Audit

- 3) External geo-political, international political, and corporate factors affect yearly access to students and a small change in the number of students can have a significant impact on the School's revenue (positive or negative).

The NTPS financial planning and budget approval process is normally multi-phased as described below, but can be condensed with approval of the CEO, Chair of the Finance Committee and Board of Trustees.

Phase 1: The CEO and CFO collaborate with the NTPS and FRI Presidents and Business Development teams to develop a draft budget for the upcoming fiscal year. This draft is approved by the CEO and the EASA Accountable Manager. The budget is then normally presented to the Chair of the Finance Committee prior to presentation to the full Finance Committee and Board of Trustees at the 3rd Quarter Board of Trustees meeting. The CFO then collaborates with the CEO to develop the final draft budget.

Phase 2: At the 3rd Quarter Board of Trustees meeting, the CFO normally presents and discusses the high-level draft budget with the Board of Trustees and receives input.

Phase 3: The CFO collaborates with the CEO, NTPS and FRI Presidents to develop the final draft budget.

Phase 4: The draft final budget is then sent to the Finance Committee for review.

Phase 5: Following any revision from the Finance Committee, the budget is approved by the Board of Trustees prior to the end of the FY.

Phase 6: The CEO in collaboration with the EASA Accountable Manager oversees the CFO and NTPS/FRI President's implementation of the budget with monthly reporting and quarterly reviews to the Board.

CEO Spending Authority

Due to the high costs associated with running an aviation-based business, the spending authority of the NTPS CEO for any single transaction is set as follows by the Board of Trustees:

\$0-\$250,000: At the discretion of the CEO

\$250,001-\$500,000: At the discretion of the CEO with notification to the Chairman of the Board of Trustees within 7 business days of the expenditure.

\$500,001 and up: Prior approval of the Board of Trustees is required.

1.4.2 Financial Management, Process, Statements and Audit

President Spending Authority

The NTPS and FRI President’s spending authority is documented in the annual budget and overseen by the CEO.

Good business practice indicates that the CEO and Presidents maintain open lines of communication with significant intended expenditures, even though within established limits, be coordinated both up and down the chain of command.

Financial Statements

Financial statements (Balance and Profit & Loss) for the National Test Pilot School will be prepared monthly. Each monthly financial statement should be prepared for review by the CEO and the Presidents no later than the 15th of the following month. The financial statements will be prepared in accordance with generally accepted accounting standards.

Annual Audit

A financial audit of NTPS shall be conducted annually by an independent auditing agency. These audits shall be conducted in accordance with generally accepted auditing standards. The Board of Trustees, through the CEO, will annually appoint an auditing firm to conduct the financial audit of NTPS.

The findings of the audit will be presented to the Board of Trustees as soon as practical after the completion of the audit (via mail or email) and will be formally reviewed at the following Spring or Fall Board of Trustees meeting.

References

Cross References

1.4.3 Hazard and Opportunities Management

Purpose

Ensure the identification potential hazards/risks and the opportunities

Applicability

All staff, faculty and the Board of Trustees

General

Every company is influenced by internal and external factors/issues which are relevant to the purpose and strategic direction of an organization. They can have a positive or negative impact or could potentially affect the ability to do the mission and to stay in business. Examples of external factors are matters arising from legal, financial, regulatory, technological, competitive, market and economic environments, whether international, national, or local. Internal factors are related to the performed activities, resource availability, personnel, culture, knowledge, and performance of the organization.

Internal and external factors may lead to hazards or opportunities. Both have an associated risk: taking or not taking an opportunity presents different levels of risk too. These risks normally cannot be eliminated nor in most cases successfully mitigated to the point of no longer being a concern.

Hazard management involves identifying potential hazards or risks that could negatively impact an organization, assessing the likelihood and potential consequences of those hazards, then developing strategies to mitigate or avoid those risks. Opportunities management, on the other hand, involves identifying potential opportunities for an organization to improve its operations, increase revenue, and/or gain a competitive advantage.

Hazard and Opportunities Management Process

The process of evaluation of hazard and opportunity starts with a SWOT Analysis (Strengths, Weaknesses, Opportunities, and Threat Analysis) prepared by the CEO and the Presidents and it will include all the current and future external and internal factors that can affect the NTPS mission. The SWOT Analysis will be presented to the Board of Trustees together with the risk assessment, the risk mitigation plan and the plans and implementing measures to reduce the likelihood and potential impact of hazards or maximize the benefits of opportunities.

1.5 Community

1.5.1 Statement of Nondiscrimination
<p>Purpose</p> <p>The National Test Pilot School is dedicated to supporting and maintaining a scholarly community which is free from discrimination and harassment. This document states NTPS policy on nondiscrimination.</p>
<p>Applicability</p> <p>All students, faculty and staff of NTPS</p>
<p>Policy</p> <p>All members of the NTPS community have the right to be treated fairly and with dignity. Values which support these rights include diversity and equality.</p> <p>The National Test Pilot School is committed to a policy of nondiscrimination and equal opportunity for all persons regardless of age, color, creed, race, national origin or ancestry, religion, sex, sexual orientation, marital status, disability or veteran status.</p> <p>The School also is committed to compliance with all applicable laws regarding nondiscrimination and affirmative action.</p>
<p>References</p>
<p>Cross References</p> <p><i>NTPS Employee Handbook</i> Policy 6.1.1 <i>Student Rights & Privileges</i></p>

1.5.2 Policy on Sexual Harassment
<p>Purpose</p> <p>This document sets out the NTPS policy in relation to sexual harassment.</p>
<p>Applicability</p> <p>All faculty, staff and students</p>
<p>Policy</p> <p>National Test Pilot School is committed to creating and maintaining a safe and nondiscriminatory learning, living, and working environment free from any type of harassment including but not limited to sexual, gender, religious, discriminatory, physical, cyber, personal.</p> <p>National Test Pilot School cannot and will not tolerate discrimination against or harassment of any individual or group based upon race, color, religion, ethnic or national origin, gender, genetic information, age, disability, sexual orientation, gender identity, gender expression, veteran’s status, or any factor that is a prohibited consideration under applicable law. National Test Pilot School welcomes and promotes an open and genuinely diverse environment.</p> <p>Prohibited Conduct will not be tolerated and will be grounds for disciplinary action up to and including permanent dismissal from the courses and termination of employment.</p>
<p>References</p>
<p>Cross References</p> <p><i>NTPS Employee Handbook</i></p>

1.5.3 Policy on Romantic and Kinship Relationship
<p>Purpose</p> <p>This document sets out the NTPS policy in relation to romantic and kinship relationships.</p>
<p>Applicability</p> <p>All faculty, staff and students</p>
<p>Policy</p> <p>NTPS is committed to professionalism in all aspects of its operations and strives for an environment free from concerns about preferential treatment, conflicts of interest, lack of objectivity, or favoritism. The NTPS community benefits from having members from the same family affiliated with the institution; however, situations where one family member has direct influence over another’s educational or work activities or conditions of employment are inappropriate.</p>
<p>References</p>
<p>Cross References</p> <p><i>NTPS Employee Handbook</i></p>

1.5.4 Conflict of Interest
<p data-bbox="217 254 326 289">Purpose</p> <p data-bbox="217 323 1398 443">This Conflict of Interest Policy describes the responsibility of all members of the National Test Pilot School community to conduct the fiscal business of the National Test Pilot School without even the appearance of impropriety.</p>
<p data-bbox="217 495 391 531">Applicability</p> <p data-bbox="217 564 802 600">All BoT members, faculty, and staff of NTPS</p>
<p data-bbox="217 653 326 688">General</p> <p data-bbox="217 722 1398 968">Board members, management, faculty, and staff all have an obligation to make decisions in a way that promote the best interests of NTPS. Members of the NTPS community should conduct their relationships with each other and the School with honesty and integrity. However Members retain their rights to interests and activities of a personal nature. Members should make every effort to recognize and avoid perceived or actual adverse effects of their external activities on the best interests of the institution.</p> <p data-bbox="217 1001 1398 1121">All board members, faculty, and other employees who accept NTPS appointments have a commitment to the School and they should be sensitive to the possible adverse effects of their external activities.</p> <p data-bbox="315 1155 521 1190"><i>Board Members</i></p> <p data-bbox="315 1224 1398 1428">Board Members owe special care and loyalty to the School and must maintain the best interests of the School in all Board-related deliberations and decisions. This includes disclosing actual or perceived conflicts of interest at the earliest possible point of awareness. Board members shall not make use of information relating to the School’s business for personal gain of any nature by the Trustee and his/her immediate family.</p> <p data-bbox="315 1461 807 1497"><i>Executive Officers and Administrators</i></p> <p data-bbox="315 1530 1398 1650">This category includes CEO, President, Accountable Manager, CAO, HT, COO, CFO, CMO, Director of NFTI, Chiefs of Academics, Chief Test Pilots, Chief of Operations & Chief Technical Officer.</p> <p data-bbox="315 1684 1398 1841">Executive Officers and Administrators of the School owe special care and loyalty to the School and must exercise care in maintaining the best interests of the School in all School-related decisions by disclosing actual or perceived conflicts of interest. Since these individuals will be involved in such decisions on a regular basis, the</p>

1.5.4 Conflict of Interest

opportunity for creation of conflicts (as well as the appearance thereof) is greatest and must be avoided.

Faculty

Faculty who holds full time appointments have a primary commitment to the School. The Faculty Code of Conduct described in this manual and in the NTPS Employee Handbook define the faculty members' obligations to the School.

Staff

The School expects that staff members will recognize the possibility that their external activities, commitments, and interests may have adverse effects on the performance of their School obligations. This policy applies to both exempt and non-exempt staff.

Part-time Appointments

Part-time employees may have a high potential for conflict of interest because of multiple demands of their time. It is expected that part-time employees will disclose potential conflicts and fulfill their obligations.

NTPS Conflict of Interest Policy

A potential conflict of interest occurs when there is a convergence between the private interests of a faculty, or staff member and his or her professional obligations to NTPS, such that an independent observer might reasonably question whether the employee's professional obligations, actions or decisions related to the NTPS are determined by considerations of financial or other personal gain. Whether or not an actual conflict of interest exists depends on the situation and not on the character or actions of the individual.

Individuals serving the NTPS shall at all times act in a manner that is consistent with their fiduciary responsibilities and shall take particular care that no damages be incurred as a result of conflicts of interests of the individual and the School.

If a faculty, or staff member believes he or she may have a conflict of interest, they should report such concerns in writing to the appropriate supervisor. They should have no further participation in the affected area until the conflict can be reviewed and resolved. For the purposes of this general policy an individual shall be considered to have a possible conflict if either :

- 1) the faculty or staff member, his or her family, or associates has or appears to have any material, financial or other interest which may impair the individual's judgment in carrying out the responsibilities delegated by the NTPS, or

1.5.4 Conflict of Interest

- 2) may gain a personal benefit from the knowledge of information confidential to the School.

Definitions

Family is defined as spouse or domestic partner, parents, siblings, children, and, if living in the same household, other relatives.

Associate includes all persons, organizations, enterprises or trusts in which the individual or members of his or her family:

- 1) is an executive, officer, employee, partner or trustee, or
- 2) has any material association.

NTPS Board Specific Conflict of Interest Policy

A conflict of interest exists, with regard to a proposed action of the governing board, or any committee of the governing board, where a reasonable person, having knowledge of all the relevant circumstances, would conclude that a board member or a member of the board member's family, or the board member's associates, have an interest that may compel the board member to take action that (1) is incompatible with the board member's duty to the institution, or (2) would result in financial gain.

Conflicts can arise in a variety of situations but commonly arise where board members and/or their family members are:

- 1) employee of the educational institution;
- 2) shareholders or owners of the educational institution;
- 3) persons with an ownership or investment interest in any entity that has a financial arrangement with the educational institution;
- 4) persons with contractual or other compensated relationships with the educational institution;
- 5) persons who are appointed to the board by another entity with which they have ties that might jeopardize their independence.

Board members have an ethical responsibility and duty to disclose their interests and, where the board member has an actual or apparent conflict with an action of the board, to refrain from participating in discussions about or voting on any matters that relate to the conflict. Regardless of any legal duty, board members are expected to act as though such a legal duty is present. In all cases in which a potential conflict may exist, the interested board member ensures that the conflict has been clearly and promptly disclosed to the board.

1.5.4 Conflict of Interest

Generally, interested board members should recuse themselves when such matters are being discussed. For example, employee-board members are not involved in approval of budgets that set their salaries and bonuses. Shareholder-board members do not participate in the deliberations of or vote on any matter related to the declaration or payment of dividends or financial distributions of any kind that may inure to the benefit of that member.

NTPS will circulate the conflict-of-interest policy annually to the entire board and obtain annual signed conflict of interest statements from each board member. By signing the policy, members agree to disclose conflicts and act in accordance with the policy. All board members will be mindful of known board member conflicts and invoke the policy as situations arise, noting in minutes any recusals or abstentions resulting from conflicts. If a conflict arises between the times when statements are normally reported to the board, a member advises the chair of the conflict.

References

Cross References

NTPS Employee Handbook

1.5.5 Solicitation
Purpose This document sets out the NTPS policy on solicitation.
Applicability All faculty and staff of NTPS
Policy Solicitation by a School staff or faculty member (whether an employee or consultant) of another member of the School community for any purpose is prohibited while either individual is on his or her working time.
References
Cross References <i>NTPS Employee Handbook</i>

1.5.6 Drug Free Campus
<p>Purpose</p> <p>The National Test Pilot School desires to maintain a campus environment for all employees and students which are safe and free of illegal drugs, this statement confirms the NTPS policy in relation to a drug free campus.</p>
<p>Applicability</p> <p>All staff, faculty and students</p>
<p>Policy</p> <p>The National Test Pilot School believes that it is the responsibility of management to provide a safe work environment for all employees, free of the effects of substance abuse or abusers. Similarly, it is the responsibility of employees to maintain personal health so they are physically and mentally capable of performing in the workplace. The abuse of drugs or alcohol is unsafe and a counterproductive practice which will not be tolerated at the National Test Pilot School.</p> <p>Pursuant to the Drug-Free Workplace Act of 1988 and the Drug-Free School and Communities Act Amendments of 1989, this policy prohibits the unlawful manufacture, distribution, dispensation, possession, of alcohol and illicit drugs at NTPS.</p>
<p>References</p>
<p>Cross References</p> <p><i>NTPS Employee Handbook</i></p>

1.5.7 Smoking Policy
<p>Purpose</p> <p>The policy is designed to preserve the right to enjoy a smoke-free environment while permitting limited provisions to accommodate those who desire to smoke.</p>
<p>Applicability</p> <p>All students, faculty, staff and visitors.</p>
<p>Policy</p> <p>The National Test Pilot School affirms the right of employees, students, and visitors to enjoy a smoke-free environment while on School property.</p> <p>Smoking is only permitted in designated smoking areas outside the building.</p>
<p>References</p>
<p>Cross References</p> <p><i>NTPS Employee Handbook</i></p>

1.5.8 Workplace Safety and Security
<p>Purpose</p> <p>This document sets out the NTPS policy on safety and workplace security.</p>
<p>Applicability</p> <p>All faculty, staff and students of NTPS</p>
<p>Policy</p> <p>To assist in providing a safe and healthy work environment for faculty, students and visitors, the National Test Pilot School has established an Injury and Illness Prevention Program. This program is a top priority for the school. The Operations Office has responsibility for implementing, administering, monitoring and evaluating the safety program. Its success depends on the alertness and personal commitment of all members of the school community.</p> <p>The NTPS is concerned about the growing risk of violence in the workplace. The NTPS wants all employees to know that it will not tolerate threats or acts of violence in the workplace and that it is working to ensure that workplace security is an integral part of our Injury and Illness Prevention Program. This not only includes such things as physical violence or fighting, but also includes vulgar or abusive language, threatening, intimidating or coercive behavior aimed directly or indirectly at any employee, visitor or person doing business with or for the NTPS. For further details on the NTPS workplace security procedures, please ask the Administrative Services to arrange a review of the NTPS Injury and Illness Prevention Program manual.</p> <p>All employees should treat others in a considerate and respectful manner.</p> <p>Staff and Faculty should feel free to report, without fear of retaliation, any condition that they believe poses a safety, health or security risk in the workplace. The NTPS will investigate such reports promptly and thoroughly and take appropriate corrective action to support this policy. The NTPS will consider any comments or jokes regarding threats of violence as serious, and deal with them as outlined above.</p> <p>National Test Pilot School provides information to employees about workplace safety, health and security issues through regular internal communication channels such as staff meetings, bulletin board postings, memos or other written communications.</p> <p>All employees receive periodic workplace safety training (every six months). The training covers potential safety, health and security hazards and safe work practices and procedures to eliminate or minimize hazards.</p>

1.5.8 Workplace Safety and Security

Some of the best safety improvement ideas come from employees. Those with ideas, concerns or suggestions for improved safety and security in the workplace are encouraged to bring them to the Administrative Services’ attention so that the safety and welfare of all employees in our school can be improved. Reports and concerns about workplace safety issues may be made anonymously if the employee wishes. All reports can be made without fear or reprisal.

Each staff and faculty member are expected to obey safety rules and to exercise caution in all work activities. Employees must immediately report any unsafe condition to Administrative Services. Employees who violate safety standards, who cause hazardous or dangerous situations, or who fail to report, or, where appropriate, remedy such situations, may be subject to disciplinary action, up to and including termination actions.

In the case of accidents that result in injury, regardless of how insignificant the injury may appear, faculty should immediately notify Operations. Such reports are necessary to comply with laws and initiate insurance and workers’ compensation benefits procedures.

References

Cross References

NTPS Safety Management Manual

2 Administration

2.1 NTPS Administration

2.1.1 NTPS Policies and Procedures
<p>Purpose</p> <p>This document sets out the objectives of the policies and procedures implemented by NTPS.</p>
<p>Applicability</p> <p>All faculty, staff and students</p>
<p>Policy</p> <p>NTPS strives to provide excellence in teaching and service. To ensure continuity and consistency in the level of service provided students support branches, faculty, and staff perform their individual jobs in conformity with each other utilizing established policies and procedures.</p> <p>Consistent and effective performance is also complicated by the fact that the external environment and the people who fill full and part-time faculty and staff positions may change over time. An effective communications system to guide the daily interaction of these diverse, dynamic, and complex elements to accomplish complex tasks and achieve School goals and objectives is essential. Policies and procedures are designed to provide a common information base to guide members of the School community in accurate and harmonious performance of their duties.</p> <p>The information system is designed to:</p> <ol style="list-style-type: none"> 1) Establish and clearly describe the operating principles, standards, and procedures for the School community; 2) Interpret implementation of School and other regulations and practices; 3) Communicate essential and helpful information to employees; 4) Link the Board of Trustees to each staff member to ensure that all tasks contribute to the goals established for the School The written operating policies, procedures, and regulations are not intended to stifle individual creativity or discourage innovation, but to ensure that the results of initiative are positive, productive, and fit School goals and objectives. <p><i>Publication of Policies and Procedures</i></p>

2.1.1 NTPS Policies and Procedures

All policies and procedures should be available to staff, faculty and students of NTPS. To ensure this, at a minimum policies should be available in electronic form on the NTPS network and a hard copy should be kept in the NTPS library.

References

Cross References

2.1.2 Policy Revision
<p>Purpose</p> <p>This policy sets out the guidelines for the management and appropriate revision of the policies implemented by the National Test Pilot School.</p>
<p>Applicability</p> <p>All staff and faculty.</p>
<p>Policy</p> <p>The National Test Pilot School has established a policies and procedures manual to facilitate consistency in service and to support appropriate communication throughout the organization.</p> <p>To ensure the accuracy and suitability of policies, all policies must be revised and approved at a minimum every 5 years, however modifications to policies may be proposed at any time. To document the revision of a policy the revision date must be updated.</p> <p><i>Modifications To Policies And Procedures</i></p> <ul style="list-style-type: none"> • Any employee may propose new procedures or modifications to existing documents. All proposals or suggestions should be made to the relevant branch chief with responsibility for the function involved. The responsible branch chief will review the proposed change and seek approval/concurrence from the President. • The President will present the proposed modification to the CEO. The CEO must provide approval for any new or updated policies and provide authorization to release updates. • Establishment of the effective date of a new or revised policy or procedure must not be arbitrary. Factors such as a reasonable transition period from a long-term practice, availability of forms, necessity for implementation by all branches at the same time, etc. should be considered. • Upon approval, the COO will coordinate the distribution of the new materials and acts as custodian of all official signed procedures.
<p>References</p>
<p>Cross References</p>

2.2 General Administration

2.2.1 Contracts
<p>Purpose</p> <p>This policy provides guidelines for drafting and executing effective contracts</p>
<p>Applicability</p> <p>CEO, CFO, COO, and Presidents</p>
<p>Policy</p> <p><i>General Instructions on Form and Execution of Contracts</i></p> <ul style="list-style-type: none"> • The purpose of a written contract is to embody the complete agreement between two parties in writing. The document should be explicit and clearly state the rights and duties of each party and clearly identify all parties. • All relevant documents should be incorporated by reference, with the order of interpretation clearly expressed. • All relevant terms should be included in the contract. Terms should not be left to an unwritten "understanding" or verbal agreement as oral representation are not binding on the parties, whether made by any official agent, or employee of either party, either before or after the execution of an agreement. <ul style="list-style-type: none"> - The CEO or President must sign all contracts. - The President can sign contracts related to routine day to day school operations. - The CEO should sign all other contracts. - The President and COO can sign for the CEO in their absence and with their approval. • All foreign contracts should include an ITAR clause stating the requirements, lead times, and costs if applicable.
<p>References</p>
<p>Cross References</p>

2.2.2 NTPS Records
<p data-bbox="219 256 324 289">Purpose</p> <p data-bbox="219 323 1177 357">This document sets out the NTPS policy in relation to the retention of files.</p>
<p data-bbox="219 415 389 449">Applicability</p> <p data-bbox="219 478 479 512">All faculty and staff</p>
<p data-bbox="219 571 300 604">Policy</p> <p data-bbox="219 638 1396 840">In keeping with sound business practices and in support of its mission, NTPS creates, gathers, and maintains operational and historical records of its activities. The objective of the School Records Management is to ensure that, consistent with other School policies, applicable state and federal laws, and School contracts, administrative records are appropriately managed and preserved, and can be retrieved as needed.</p> <p data-bbox="219 873 1396 1243">All School administrative records are owned by NTPS regardless of their physical location, even when they are in the possession of individuals. With respect to administrative records of all of its officers and employees, including members of the faculty, whose regular or occasional performance of administrative duties puts them in possession of files, records, or documents pertaining to such duties, such files, records, or documents, including but not limited to correspondence, reports, writings, and other papers, records, maps, tapes, photographic files and prints, magnetic and punched cards, discs and drums, are the property of the Trustees of NTPS, and, as such, may not be permanently removed from the School nor destroyed except in accordance with this policy.</p> <p data-bbox="219 1276 1396 1352">The retention of records and the period for which they are retained should take into consideration the following factors:</p> <ul data-bbox="267 1386 1323 1738" style="list-style-type: none"> <li data-bbox="267 1386 885 1419">• Accreditation & Certification Requirements; <li data-bbox="267 1432 738 1465">• State of California requirements; <li data-bbox="267 1478 722 1512">• Security and privacy of records; <li data-bbox="267 1524 836 1558">• Protection of records vital to the School; <li data-bbox="267 1570 933 1604">• Preservation of records of historical importance; <li data-bbox="267 1617 1315 1650">• Disposition of administrative records when they no longer serve their purpose; <li data-bbox="267 1663 657 1696">• Regulatory considerations; <li data-bbox="267 1709 1323 1743">• Other functions the School may deem necessary for good records management. <p data-bbox="219 1772 1396 1848">The COO shall be the Record Proprietor for the school. Consistent with sound business practices, School policy, and applicable law, the Proprietor determines which records will be</p>

2.2.2 NTPS Records

created, gathered, and maintained to attain the goals and meet the fiscal and legal obligations of the operational unit and the School. The role of Record Proprietor encompasses management responsibilities such as production of records for audit and other purposes.

All School employees who handle administrative records are responsible for knowing and following the laws, school policies, and guidelines that govern those records.

Specific Guidance

Internal operational notes, memorandums, and correspondence having only momentary significance need not be kept beyond one year, unless regulatory or other operational considerations require a longer retention period.

External and internal correspondence concerning long-range subjects or projects, agreements and contracts, etc., should be kept for at least five years--longer if the subject of the correspondence indicates that such a period is desirable.

Minutes of the meetings of the Board of Trustees and the School faculty off sites, are to be kept and archived.

Documents of probable historical value to NTPS should be archived.

References

Cross Reference

2.2.3 Privacy of NTPS Records
<p>Purpose</p> <p>This policy establishes responsibilities for privacy of and access to all information maintained by NTPS, except for those records pertaining to students.</p>
<p>Applicability</p> <p>All staff and faculty</p>
<p>Policy</p> <p><i>Introduction</i></p> <p>There are various privacy regulations which impact information practices. These regulations include:</p> <ul style="list-style-type: none"> • restrict the use of Social Security numbers; (Federal Privacy Act of 1974); • assure that personal information will not be disclosed unless the disclosure meets one or more of fourteen specific exceptions (Information Practices Act of 1977/IPA/); • establish procedures which ensure that individuals may inquire and be notified whether the School maintains records about them and may inspect those records (with certain exceptions); such procedures to be consistent with eleven criteria (IPA); • maintain only that information which is pertinent and necessary to accomplish a purpose of the School or is authorized by law (IPA); • provide with any form used to collect personal information eight specific items of information, such as the principal purpose for which the information is to be used and whether submission of information requested is voluntary or mandatory (IPA); • assure that mailing lists meet certain standards for protecting the privacy of individuals (IPA); • establish procedures for recording certain types of disclosures, and correcting such disclosed information (IPA). <p><i>Responsibilities</i></p> <p><i>School-wide Responsibility</i></p> <p>The President (Accountable Manager) has the major responsibility for School-wide compliance with legal requirements on privacy of and access to School records.</p> <p><i>Administration Office Manager</i></p>

2.2.3 Privacy of NTPS Records

The Administration Office Manager in conjunction with the office of the Compliance Monitoring Manager are responsible for ensuring that the NTPS complies with all records privacy and access requirements. The Administration Office Manager should

- understand legal requirements, including the differences between confidential, personal, and non-personal information;
- prepare a yearly inventory of personal and confidential records systems;
- periodically review record systems to ensure that files are maintained with accuracy relevance, timeliness, and completeness.

The Administration Office Manager should provide guidance which:

- ensures that local forms requesting or providing personal or confidential information have privacy notices incorporated in them or attached to them;
- ensures that individuals have access to information about themselves unless the information has been determined to be confidential;
- ensures that individuals may amend a record about themselves and that appropriate action is taken within specified time periods and in accordance with School and legal requirements;
- establishes charges, if any, for copies of any records to which individuals are entitled to have access, and ensure that such charges are in accordance with School and legal requirements;
- establishes records of disclosure of information if required by an existing State statute;
- assure the security of files;
- allows disclosure of personally identifiable information to a non-profit educational institution conducting scientific research providing there is satisfactory determination of the need for personal or confidential information, a procedure for protecting the confidentiality of the information, and assurance that the personal identity of the subject shall not be further disclosed in individually identifiable form;
- ensures that no information in a file is transferred inside or outside the School unless the transfer is consistent with legal requirements.

References

Cross References

2.2.3 Privacy of NTPS Records
2.2.4 Document Control
<p>Purpose</p> <p>Ensuring that NTPS documentation is accurate, precise, appropriate and free of errors, typing errors and ambiguities.</p>
<p>Applicability</p> <p>All staff and faculty.</p>
<p>Policy</p> <p>All NTPS issued written material must support the quality of instruction and the efficiency and safety of NTPS operations. Inaccurate or ambiguous information can result in poor understanding and degrading efficiency and safety.</p> <p>This policy will apply to all management and safety critical documents:</p> <ul style="list-style-type: none"> • Policy Manual; • Organization Management Manual; • Safety Management System; • Emergency Response Plan • Flight Test Operations Manual; • Training Manual; • Curriculum & Syllabus; • Operations Manual; • NTPS Employee Handbook; • Aircraft Check-lists.
<p>References</p>
<p>Cross References</p>

2.3 Finance & Accounting

2.3.1 Payroll & Benefits

2.3.1.1 Payroll Disbursements
<p>Purpose</p> <p>This policy sets out payroll processes</p>
<p>Applicability</p> <p>All employees</p>
<p>Policy</p> <p>The distribution of employee's net payroll wages will be made at the employee's option to one of the following:</p> <ul style="list-style-type: none"> • Net payroll earnings will be credited electronically to the employee's account at the financial institution of his/her choice. An earnings statement like a payroll check stub will be provided to staff. • In rare cases, a net payroll check with attached earnings statement. <p>Employees who wish to change the method of distribution of payroll should inform the Administration Office in writing.</p> <p><i>Procedure</i></p> <ul style="list-style-type: none"> • Employee <ol style="list-style-type: none"> a) New employees are required to advise the Administration Office in writing their requested payment method at the time of hire. b) Employees wishing to change their wage distribution in any way must file a written request with the Administration Office: <ol style="list-style-type: none"> i. Electronic deposits may require an initial verification period consisting of one to two pay periods (depending on the timing of form submission) before payroll earnings begin being electronically deposited. If this occurs payroll checks will be provided to the employee during this period. Changes in an employee's financial institution or account number information may result in a repeat of this verification period. ii. Employees wishing to discontinue the electronic deposit method and begin receiving payroll checks in the department must file a new written statement form with the Administration Office before the deadline

2.3.1.1 Payroll Disbursements
<p>established for the payroll schedule that will issue the employee's next check.</p> <ul style="list-style-type: none">• Administration Office Administration Office has the responsibility of obtaining a written Payroll Wage Distribution statement form from all new employees. This should be filed on the personnel files.
References
Cross References

2.3.1.2 Payroll Withholding
<p>Purpose</p> <p>This policy sets out the requirements for withholding amounts from employee’s paychecks.</p>
<p>Applicability</p> <p>All employees</p>
<p>Policy</p> <p>The School requires or allows the following items to be withheld from employee paychecks.</p> <p><i>Mandatory</i></p> <ul style="list-style-type: none"> • Federal Income Tax <p>Except for certain cases and in some cases involving non-resident foreigners, Federal income taxes will be withheld on the basis of W-4 forms filed with the Administration Office.</p> <p>In the event no W-4 is on file for an individual, Federal and State taxes are withheld on a mandatory basis of single with zero exemptions.</p> <ol style="list-style-type: none"> a) An employee who wishes to pay in more Federal income tax than is being withheld should request, by completing a new W-4 denoting a specified higher amount to be withheld each payday. b) An employee who, after estimating tax liability for the current year, determines that an excessive amount of Federal tax is being withheld in order to meet that liability, should investigate the possibility of filing an amended “employee’s combined withholding exemption certificate” with the Administration Office- c) An employee who estimates having no Federal income tax liability for a particular year, and had none for the prior year, has the option of having no Federal income tax withheld provided he/she files an "employee's exempt certificate" with the Payroll Department. Such certificates must be renewed annually. d) Federal guidelines require the Administration Office to notify the Internal Revenue Service of any employees claiming more than 10 exemptions or allowance and employees claiming exempt status and earning more than \$200.00 per week. • California Income Tax

<p>2.3.1.2 Payroll Withholding</p> <p>Generally, the same guidelines for Federal income tax withholdings are applicable to State income tax withholdings except the State will not allow an employee to claim total exemptions or allowances which exceed the number of allowances claimed for Federal purposes.</p> <ul style="list-style-type: none">• FICA Taxes <p>Commonly referred to as Social Security Taxes, this item must be withheld from wages paid all employees except for monies paid to</p> <ul style="list-style-type: none">- Students- Certain non-resident foreigners- Recipients of extraneous payments. <ul style="list-style-type: none">• Family Court Orders <p>If the School receives an official court order stipulating that a certain deduction be made from an employee's pay, with subsequent remittances of the funds to be forwarded to the court, such deductions will be made until the order is rescinded.</p> <p><i>Optional</i></p> <p>Several optional deductions are available to employees. These should be discussed with the Administration Office. Optional withholdings must be authorized by the employee in writing.</p>
References
Cross References

2.3.2 Receipts

2.3.2.1 Receipts
<p>Purpose</p> <p>This policy is designed to ensure that all revenue and receipts of monies received by NTPS are appropriately controlled and accounted for.</p>
<p>Applicability</p> <p>All staff and faculty</p>
<p>Policy</p> <p><i>General</i></p> <ul style="list-style-type: none"> • All payments received on behalf on the School must be promptly deposited and recorded. • All checks in payment of amounts due the School must be made payable to NTPS. Checks must not be made payable to departments, department heads, or any School official or employee by name. If checks are received made payable to an individual, they must be appropriately endorsed before transmittal to the Administration Office. The endorsement must be preceded by "pay only to NTPS". If a check which is made out improperly is in payment of an item of a repetitive nature, the maker must be instructed to make future checks payable to NTPS. • All receipts must be deposited intact. No expenditures may be made or checks cashed from cash receipts. No receipts may be retained within a branch for branch use. • Deputy's may not maintain "unofficial" funds. Any such funds currently on hand are in violation of this policy and must be transmitted to the Administration Office with a statement as to source. <p><i>Recording of Receipts</i></p> <ul style="list-style-type: none"> • All payments should be received by the Administration Office. • Any payment received by the School must be immediately recorded in the accounting system, with the appropriate general ledger code in quick book by the Administration Office. • Every person making a payment to the School for any purpose is entitled to, and must be given an official receipt for any such payment. • A notation must be made on each receipt specifying whether payment was by check, cash or bank transfer and the purpose for which the money was collected including course numbers, where applicable.

2.3.2.1 Receipts

- Deputy's must not accept payment but should direct the payer to the Administration Office for obtaining an official receipt. Any checks which are received by branches by mail should be promptly forwarded to the Administration Office with a statement covering the purpose of the payment.
- When necessary to void a receipt, the original should be retained and stapled to the copy.

Transmittal and Deposit of Receipts

- The Administration Office is required to deposit receipts intact to a NTPS approved bank account within three days; however, where significant funds have been accumulated more frequent deposits are required.
- A copy of each deposit slip validated by the bank teller should be retained by the Administration Office and kept together with the deposit summary showing the purpose for which funds were collected.

Custody and Safekeeping of Receipts

The Administration Office should not hold cash reserves. Except for petty cash all currency received by the Business office must be banked immediately. Currency must never be transmitted through US Post Office or held overnight. If unusually large sums are on hand, arrangements should be made for bank night deposits.

The Administration Office should ensure that proper safekeeping facilities are available and that proper safeguards are taken to protect official funds until deposited

Special Fiscal Year End Closing Procedures

All funds received by the Administration Office by noon on the last work-day of the fiscal year should be deposited as of that date.

References

Cross References

2.3.2.2 Accounts Receivable
<p>Purpose</p> <p>This policy deals with the appropriate recording and collection of accounts receivable by NTPS.</p>
<p>Applicability</p> <p>All staff</p>
<p>Policy</p> <p><i>General Statement on Accounts Receivable</i></p> <p>NTPS shall, to the maximum extent possible, require payment in advance for all services and goods provided by the school. Multiple payments will be recorded in accounts receivable.</p> <p>In accordance with policy 5.4.4 <i>Fees</i> students are required to pay all/initial fees by the commencement of the course.</p> <p>Accounts and notes receivable may be generated from certain programs and activities, including but not limited to educational contracts, other contracts, the rental of property, the provision of utility services related to property, bad checks, overpayment to an employee or vendor, and any damage, loss or liability to the School by others. The School, subject to the approval of CEO or his designate, is authorized to require any person to pay a deposit, post a security bond, or provide appropriate insurance to ensure full payment of any potential obligation to the School arising from any program or activity.</p> <p>No time limit exists on the School's authority to collect receivables unless otherwise agreed or expressly provided by statute.</p> <p><i>General Collection Procedures</i></p> <ul style="list-style-type: none"> • The School has a systematic process and procedures for the collection of accounts receivable from all persons, including students and employees of the School. The Administration Office has responsibility for the collection of accounts receivable subject to the receipt of appropriate documentation of such obligations. • Collection efforts should begin no later than thirty (30) days after the occurrence of the obligation or other fixed due date. • Except as otherwise hereinafter provided, a minimum of three (3) letters of contact or billing requesting payment should be sent by the School at 30-day intervals once an account becomes delinquent. An account becomes delinquent based on the payment

2.3.2.2 Accounts Receivable

criteria established by the School for the type of debt involved. For debts greater than \$25, the third letter should indicate that the account will be referred to a collection agency if payment is not received with a specified period. Sending letters by certified mail is optional.

- When the School's established collection efforts for the type of debt have failed to produce payment, the accounts are classified as defaulted. Any defaulted receivable of \$200 or more should be referred to a collection agency within a reasonable time after the final collection letter is sent if the debtor does not respond. Referrals of accounts under \$200 are not required. Except for receivables from employees, additional collection efforts are not required for accounts under \$100. These receivables should be written-off.
- Employee receivables may result from, among other things, traffic and parking fines, payment of travel allowances, or bad checks. Where collection procedures for delinquent employee receivables described above have failed, the debt may be recouped from the employee's paycheck. A notice of intent to withhold must be sent to the employee by registered or certified mail, or personally delivered. Within 15 calendar days of receipt of such notice, the employee must:
 - pay the debt in full;
 - authorize the School to withhold a designated amount from each subsequent paycheck or, if the employee is terminating, from the accrued but unused annual leave until the debt is paid in full; or
 - elect to contest the intent to withhold through an appeals hearing.
- Where a student has an unpaid or delinquent debt grade reports, certificates of credit, diplomas or academic transcripts will not be issued to the student. Students are required to pay all current and past due debts and obligations to the School, whether incurred in prior terms or during the current term prior to being permitted to register for any future terms. Should a petition for bankruptcy be filed, all holds should be lifted.
- Accurate records of all correspondence, telephone calls and personal contacts with borrowers should be maintained and all receivables should be aged at least annually.

Federal Student Loan Program Collections

NPTS is not currently authorized to provide Federal Student Loans.

Returned Check Collections

Where a student tenders' payment of fees by a check that is subsequently dishonored by the bank, and the check is not redeemed within the specified time period, the School has the

2.3.2.2 Accounts Receivable

option to consider this student not enrolled at the School. At the Discretion of the School, the student may be considered enrolled and will be assessed the applicable returned check fee, the late registration fee, and will be denied grade reports, transcripts and future registration privileges until such dishonored check is redeemed.

Any person other a student or employee who tenders a check for payment for goods or services which is subsequently dishonored shall be given the opportunity to redeem the check and pay the amount due in cash or money order within 10 days.

A total of three notices shall be sent for any unpaid check with the third notice being the "Final Notice" before the account is referred to an outside collection agency, in accordance with normal default collection procedures as described above.

Receipt of one or more bad checks from any person may result in that person becoming ineligible to make payments by check thereafter, or to have any check cashed by the School. A record of individuals who have written bad checks should be maintained by the Administration Office.

Collection Agencies

Once other collection efforts have been exhausted the use of a collection services is permitted. Unless otherwise prohibited by law or regulation, any note, contract or lease which may result in accounts receivable to the School should contain a provision which states the debtor will be responsible for the costs of collection and reasonable attorney fees in the event of default. It should further provide for the assignment of the account or note to the proper agency. Collection agencies can provide services such as:

- Outside Billing Services;
- Credit Bureau Reporting;
- Collection Agency Referral:
 - Reporting Requirements by Collection Agencies;
 - Revised Repayment Plans;
 - Recalling Accounts from Collection Agencies.

Bankruptcy

The Administration Office is the designated School contact for all bankruptcy claims regarding accounts and notes receivables. All bankruptcy claims and debt documentation should be sent to the Administration Office to be forwarded, where appropriate to NTPS legal

2.3.2.2 Accounts Receivable

representatives. No further action against the debtor should be taken until notice of final discharge is received.

Litigation

After all other attempts at collection have failed with general accounts receivables, at the discretion of the CEO, the School may initiate litigation to recover the debt. The expected litigation costs should be considered against the amount which can be recovered and the likelihood of success. Generally, the collection services contract will provide for litigation where appropriate.

References

Cross References

2.3.2.3 Course Fees

Purpose

This document sets out the policies and procedures relating to the setting of student course fees.

Applicability

All faculty and employees

Policy

The CEO is responsible for setting the fee structure and must approve all charges, fee waivers, fines, deposits and expenses.

The fee structure should be reviewed every 6 months to ensure the fees charged appropriately reflect costs incurred by the school in the provision of services.

A listing of fees and expenses should be provided electronically on the Internet from the School's home page and should be available on request from the Administration Office, in line with Policy 5.4.4 *Fees*.

All requests for establishing, collecting or exempting fees must be submitted in writing through the President to the CEO. The CEO must approve procedures for the collection of fees.

All charges are due on the date that they are incurred or the due date indicated on the ticket, invoice or statement.

Penalties for Non-payment of Course Fees

A student who fails to pay all required registration fees by the first day of the course (or otherwise negotiated date) may not be permitted to participate in classes, flights or other school activities, may not be provided a transcript of records, receive a certificate of completion, grade report or degree until the total amount has been paid.

A student who fails to relieve any other indebtedness to the School on the date such obligations become due may not be issued a transcript, certificate of completion or degree.

References

Cross References

Policy 5.4.4 *Fees*

2.3.2.3 Course Fees**2.3.2.4 Fundraising and Donations**

Purpose

Donations and fundraising activities can provide contributions which assist NTPS in achieving its educational objectives. This policy provides guidelines for the acceptance of donations and fundraising activities.

Applicability

All staff and faculty

Policy

Mission of the Fund Raising Program

Fundraising is intended to generate contributions to be used to enhance the School's projects and programs. Gifts of real and personal property from individuals and organizations benefit the School by making possible the accomplishment of objectives for which support from other sources is limited or unavailable. Gifts also often represent a means by which the donor may contribute to an aspect of higher education that is of interest to the donor. Both current and deferred contributions are welcomed.

Solicitation of Gifts

The CEO has ultimate responsibility for the fund-raising program of the School but delegates the day to day operations of fundraising to the President. All fund-raising activity, including direct and indirect solicitation and special fund raising projects that are conducted in the name of and in behalf of the School must be approved by CEO prior to beginning the solicitation or project. To gain approval for a fund-raising project, a written request shall be originated by the NTPS staff. The request should include:

- 1) The ultimate benefit to be derived from the fund-raising activity;
- 2) The constituencies to be solicited;
- 3) The type fund raising to be conducted;
- 4) The fund-raising goal;
- 5) The key people responsible for the fund-raising activity;
- 6) Approval lines for each position in the respective unit including:
 - Individual originating request;
 - President (Accountable Manager);
 - CEO.

2.3.2.3 Course Fees

Any solicitation of a gift which may require a commitment of School resources, including unusual space or manpower requirements, maintenance contracts, or matching funds will require appropriate approvals up to and including the CEO before the gift is solicited. The CEO may also seek the consultation and/or approval of the Board of Trustees before final approval is granted.

Acceptance of Gifts

The CEO or their designee is authorized to accept gifts on behalf of the School, subject to review and confirmation by the Board of Trustees and subject to the following conditions:

- 1) The Board may accept a gift if Board acceptance is a condition set by the donor;
- 2) The CEO or their designee may accept gifts of real property or any permanent interest in real property, and title must be conferred in the name of the National Test Pilot School for the use and benefit of the School;
- 3) Any acquisition of real property by gift or devise which obligates the School to expend School funds for capital improvements or continuing operating expenditures shall be approved by the CEO;
- 4) Securities given to the School shall be dealt with in the most appropriate manner by the CEO. Disposition of securities values in excess of \$500,000 shall be coordinated with the Board.

The CEO is responsible for coordinating the acknowledgment of all gifts. This is normally delegated to the President. A receipt should be provided to the donor and, as appropriate, letters of acknowledgment/appreciation should be sent from the President, the CEO, or Board of Trustees.

Records and Reporting

An accounting system maintained in accordance with all appropriate accounting procedures which includes all gifts to the School shall be maintained by the Administration Office. In addition, donor contributions should be tracked on an annual and on a cumulative basis. A summary of all gifts to the School during a fiscal year shall be included in the School's Annual Report to the Board.

References

Cross References

2.3.3 Disbursements

2.3.3.1 Purchasing and Ordering														
<p>Purpose</p> <p>This policy is to provide guidelines on ordering to ensure that all goods and services used by NTPS are valid and appropriately selected.</p>														
<p>Applicability</p> <p>All staff and faculty</p>														
<p>Policy</p> <p>The Administration office is organized to serve the School community in the selection, acquisition and utilization of materials and services in a manner that provides essential accountability for School expenditures.</p> <p>All purchases of goods and services must be done in an open and competitive environment to ensure that prices paid by the School are ‘fair and reasonable’. NTPS is committed to an environment that fosters open decision-making, practices and policies. Vendors and suppliers should be selected based on the quality of their respective products and services, in accordance with stated principles in order to obtain the best value for the School.</p> <table border="1" data-bbox="251 1129 1367 1831"> <thead> <tr> <th style="background-color: #cccccc;">Item</th> <th style="background-color: #cccccc;">Purchase Order Required</th> <th style="background-color: #cccccc;">Authorization Required for Payment</th> </tr> </thead> <tbody> <tr> <td>Computers</td> <td>Yes</td> <td>Routine and budgeted purchases less than \$5000; Approval by President (Accountable Manager). Other purchases approval by the CEO. Purchase order or equipment purchase contract is normally required.</td> </tr> <tr> <td>Conference registration fees</td> <td>No</td> <td>Budgeted and approved fee; Approval by President (Accountable Manager). Other purchases approved by the CEO. Any associated travel costs must be in accordance with Policy 3.6.1 <i>Travel</i></td> </tr> <tr> <td>Construction contract payments</td> <td>No</td> <td>Approval by CEO.</td> </tr> </tbody> </table>			Item	Purchase Order Required	Authorization Required for Payment	Computers	Yes	Routine and budgeted purchases less than \$5000; Approval by President (Accountable Manager). Other purchases approval by the CEO. Purchase order or equipment purchase contract is normally required.	Conference registration fees	No	Budgeted and approved fee; Approval by President (Accountable Manager). Other purchases approved by the CEO. Any associated travel costs must be in accordance with Policy 3.6.1 <i>Travel</i>	Construction contract payments	No	Approval by CEO.
Item	Purchase Order Required	Authorization Required for Payment												
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Construction contract payments	No	Approval by CEO.												

2.3.3.1 Purchasing and Ordering		
Consultants	Yes	Normal and routine curriculum and training purchase approval by President (Accountable Manager). Other purchases approved by the CEO. Expenditures must be made in accordance with Policy 2.3.4.5 <i>Independent Contractor Guidelines</i> .
Entertainment	No	Approval by CEO. Expenditures must be in accordance with Policy 2.3.4.4 <i>Entertainment Expenditure Guidelines</i> .
Equipment	Yes	Routine and budgeted purchases less than \$5000; Approval by President (Accountable Manager). Other purchases approval by the CEO. Purchase order or purchase contract normally required. Exception for some low value purchases.
Freight	No	Approval by COO
Grants for faculty research, travel, etc.)	No	Approval by CEO
Independent Contractors	Yes	Normal and routine curriculum and training purchase approval by President (Accountable Manager). Other purchases approved by the CEO. Approval must be in accordance with Policy 2.3.4.5 <i>Independent Contractor Guidelines</i> .
Insurance liability and property damage	No	Approval by the CEO.
Library materials, (books periodicals etc.)	Yes	Approval by President (Accountable Manager) or the CEO.
Memberships	No	Normal budgeted and routine curriculum and training purchase approval by President (Accountable Manager). Other purchases approved by the CEO.

2.3.3.1 Purchasing and Ordering

Moving expense	No	Approval by the CEO and in accordance with Policy 3.6.1 <i>Travel</i> .
Petty cash reimbursements	No	Approval by the CFO and in accordance with Policy 2.3.5.2 <i>Petty Cash</i> .
Postage	No	Approval by Office Manager
Real estate	No	Approval by the CEO
Reimbursement to employees for supplies purchased	No	Same as supplies.
Rental or lease of real property or equipment.	No	Lease approved by Board of Trustees or CEO, depending on scope of lease.
Service charges on past-due invoices	No	Approval by CEO
Service contracts, including repair and maintenance	Yes	Same as Supplies.
Services not otherwise specified	Yes	Same as Supplies.
Subscriptions to periodicals	No	Same as library purchases.
Supplies	Yes	Normal budgeted and routine curriculum and training purchase approval by President (Accountable Manager). Other purchases approved by the CEO.
Telephone	No	Approval by Office Manager

2.3.3.1 Purchasing and Ordering		
Travel	No	Normal and routine curriculum and training purchase approval by President (Accountable Manager). Other purchases approved by the CEO. Expenditures must be in accordance with Policy 3.6.1 <i>Travel</i> .
Tuition for courses taken by staff	No	Approval from CEO. Any associated travel costs must be in accordance with Policy 3.6.1 <i>Travel</i>
Utilities	No	Approval by Office Manager.
References		
Cross References		
Policy 2.3.4.4 <i>Entertainment Expenditure Guideline</i>		
Policy 2.3.4.5 <i>Independent Contractor Guidelines</i>		
Policy 2.3.5.2 <i>Petty Cash</i>		
Policy 3.6.1 <i>Travel</i>		

2.3.3.2 Receiving
<p>Purpose</p> <p>This policy sets out guidelines on the proper receiving of goods and services to ensure that payments are made only for goods and services that are received by NTPS.</p>
<p>Applicability</p> <p>All employees and faculty</p>
<p>Policy</p> <p><i>Receiving Procedures</i></p> <p>Employees who receive goods should:</p> <ol style="list-style-type: none"> 1) compare the number of packages or cartons with the shipping documents; 2) inspect for visible damage; note damages on the shipping document and obtain the delivery driver's signature; 3) compare the delivery to the purchasing information and make appropriate notes; 4) deliver the material or equipment to the appropriate personnel, and obtain a signature from the person accepting the delivery; 5) compare the material or equipment received with the ordering records immediately upon receipt for conformity as to the specifications and quantity. The date received, quantity and condition of the items should be noted on the ordering records; 6) report any deviation from specifications, shortages, damages, etc. to the vendor and the Administration Office. <p><i>Goods and Services Shipped Directly to Branches</i></p> <p>In general, all goods should be received by the Administration Office, however where goods or services are shipped directly to an employee, the receiving copy of the purchase order must be signed, dated, and forwarded to the Administration Office upon verification of goods and services by the employee.</p> <p>Any discrepancies noted between goods or services delivered and invoices or purchase orders should be brought to the attention of the Administration Office.</p> <p>Vendors have the right to expect prompt payment by the School after delivery. The Administration Office is responsible for ensuring that invoices are promptly processed for payment in accordance with policy 2.3.4.3 <i>Payments</i>.</p>

2.3.3.2 Receiving
References
Cross References Policy 2.3.4.3 <i>Payments</i>

2.3.3.3 Payments
<p>Purpose</p> <p>It is important to ensure that payments are made only for goods and services that are received by NTPS. This policy sets out the process to enable appropriate payment of valid purchases.</p>
<p>Applicability</p> <p>All staff and faculty</p>
<p>Policy</p> <p>The School pays all its legally incurred obligations for materials and services through the Administration Office. It is School policy to pay all invoices within 30 workdays of receipt of the goods or services. Failure to make payment by the due date may result in a late payment penalty on any unpaid balance where the vendor specifies on the statement or the invoice submitted that a late penalty is applicable. The penalty is added to the invoice (and charged to the School interest expense code) and remitted to the vendor. To ensure prompt payment of invoices, any invoices received by employees should be forwarded immediately to the Administration Office.</p> <p><i>General Policy Regarding Payment of Invoices</i></p> <p>In order to make payment to an outside vendor, the Administration Office must have the original invoice. If the original is not received, the person who requisitioned the goods or services must make a statement to that effect on the invoice copy and certify that the invoice has not been previously processed for payment. Accounts Payable cannot pay a monthly statement unless supported by original copies of delivery tickets supporting the amount of the statement. The invoices must not be approved and sent to Administration Office for payment until all the items covered by the invoice have been received in good order.</p> <p><i>Information Required to Process a Payment</i></p> <p>To process a voucher for payment, the following data is required:</p> <ul style="list-style-type: none"> • An approved Purchase Order (where required under policy 2.3.4.1 <i>Purchases and Ordering</i>). Purchase Orders may be in the form of a regular purchase order or a blanket purchase order; • An original invoice; • A signed receiving report (or authorized signature on blanket purchase order); • Vendor's Federal Identification Number (Social Security number if an individual).

2.3.3.3 Payments

All items on the invoice must be verified for validity to the purchase order and receiving report. Any differences must be followed up with the member who ordered the goods, the receiver and where necessary the vendor.

Once items on the invoice are appropriately verified the payment will be processed.

Payment Processing

Once the Administration Office has received the information as detailed above, the payment will be processed. The payment will be entered into the accounting system and charged to the relevant general ledger account. A check or electronic transfer will be prepared. The check or electronic transfer must be approved by 2 check signatories. All supporting documentation, including invoice, purchase order (where required) and receiving report must be provided to the check signatories along with the check or electronic transfer for approval.

Check Signatories

Check signatories must be approved by the CEO. A list of check signatories should be maintained by the CFO. Any changes to the list must be provided immediately to the relevant bank, in line with their instructions.

The current check signatories are:

- CFO (normally primary check signer)
- CEO
- President
- By rare exception, Administration Office Manager.

Miscellaneous

The Administration Office answers inquiries all from vendor regarding the status of unpaid purchase orders and reconciles monthly account statements from vendors.

Employees should promptly forward to Accounts Payable all vendor statements and invoices that relates to purchase orders.

Vouchers processed with the necessary backup are filed in the Administration Office.

References

Cross References

2.3.3.4 Entertainment Expenditure Guidelines
<p>Purpose</p> <p>There are occasions when the extension of hospitality in connection with official School business is in the best interest of the School. This Bulletin outlines School policy and procedures governing the manner and extent to which the School may extend hospitality <i>for business purposes only</i> and specifies the School funds that may be used for such purposes.</p>
<p>Applicability</p> <p>All faculty and staff</p>
<p>Policy</p> <p><i>Definitions</i></p> <p><i>Official Entertainment:</i> the provision of meals (catered or restaurant) or light refreshments (beverages, hors d'oeuvres, pastries, cookies, etc.).</p> <p><i>Official Host:</i> an employee representing the School who hosts a meeting, conference, or event.</p> <p><i>Official Guest:</i> a person who renders a service to the School or is present at a School meeting, conference, or event at the invitation of the person authorized to host the activity.</p> <p><i>Exceptional Entertainment:</i> expenses which require exceptional approval, expenses associated with certain types of activities including Entertainment of the spouse (or equivalent) of a host or a guest, Tickets to entertainment or sporting events, Faculty or staff picnics or holiday parties.</p> <p><i>Work Location:</i> the place where the major portion of an employee's working time is spent, or the place to which the employee returns during working hours upon completion of special assignments.</p> <p><i>Allowable Expenses and Occasions</i></p> <p>Expenses for entertainment must be directly related to, or associated with, the active conduct of official School business. When a School employee acts as an official host, the occasion must, in the best judgment of the CEO, serve a clear business purpose, with no personal benefit derived by the official host or other School employees. In addition, the expenditure of funds for entertainment should be cost effective and in accordance with the best use of public funds. When determining whether an entertainment expense is appropriate, the CEO must evaluate the importance of the event in terms of the costs that will be incurred, the</p>

2.3.3.4 Entertainment Expenditure Guidelines

benefits to be derived from such an expense, the availability of funds, and any alternatives that would be equally effective in accomplishing the desired objectives.

Following are examples of situations that meet these criteria:

Host to Official Guests

When the School is host to official guests, including visitors from other universities, members of the community, members of sponsoring agencies, etc., the cost of meals or light refreshments may be reimbursed. In addition, such costs may be reimbursed for prospective appointees or students for positions requiring specialized training and/or experience of a professional, technical, or administrative nature.

Meetings of a Learned Society or Organization

When the School is the host or sponsor of a meeting of a learned society or organization, the cost of meals or light refreshments may be reimbursed.

Meetings of an Administrative Nature

When meetings of an administrative nature are held that are directly concerned with the welfare of the School, the cost of meals or light refreshments may be reimbursed. Where meals are involved, they *must be a necessary and integral part of the business meeting, not a matter of personal convenience.*

Student-oriented Meetings

When meetings between faculty or administrators and students are held, the cost of light refreshments may be reimbursed.

Prospective School Donors

When the School hosts an event for the purpose of generating the goodwill of prospective School donors, the cost of meals or light refreshments may be reimbursed.

Receptions

The cost of light refreshments may be reimbursed for receptions held in connection with conferences, meetings of a learned society or organization, fundraising events, meetings of student organizations/groups, employee recognition or length of service awards or retirement presentations, student events such as graduations, etc.

2.3.3.4 Entertainment Expenditure Guidelines

The following situations do not meet these criteria and must be treated as an exception to this policy:

Entertainment of a Spouse

The entertainment expenses of the spouse (or equivalent) of a guest or the official host may be reimbursed as an *exceptional* expense, provided such entertainment serves a bona fide School business purpose. Participation in official functions that *require* the attendance of a spouse may be considered a bona fide business purpose. Fundraising events, alumni gatherings, community and recruiting events are examples of activities that may require the attendance of a spouse.

Faculty/Staff Picnics or Holiday Gatherings

The cost of meals or light refreshments for employee morale functions such as faculty/staff picnics or holiday gatherings may be reimbursed as an *exceptional* expense, provided it can be demonstrated that such functions serve a School business purpose. However, payment or reimbursement is not permitted for the following types of occasions: employee birthdays, weddings, anniversaries, farewell gatherings (other than retirement), etc.

References

Cross References

2.3.3.5 Independent Contractor Guidelines
<p data-bbox="219 262 324 294">Purpose</p> <p data-bbox="219 325 1396 409">This policy is designed to provide guidance on the classification of independent contractors and employees.</p>
<p data-bbox="219 457 389 493">Applicability</p> <p data-bbox="219 525 479 556">All staff and faculty</p>
<p data-bbox="219 619 308 651">Policy</p> <p data-bbox="219 682 1396 1060">NTPS occasionally retains individuals for temporary personal services. In some cases, it is not clear whether individuals performing temporary services should be hired as part time school employees or retained as independent contractors. This distinction is significant because there are certain requirements that apply to employees but not to independent contractors. For example, Federal and California labor laws impose a number of benefit requirements on employers, e.g., full time employees must be covered by workers' compensation insurance, unemployment insurance, and short-term disability insurance. In addition, the distinction between an employee and an independent contractor has income tax reporting and withholding implications.</p> <p data-bbox="219 1092 1396 1333">Under standards used by both the Internal Revenue Service (IRS) and the courts, the basic legal distinction between an employee and an independent contractor is that an employee is subject to the employer's right to direct and control the employee's work, irrespective of whether such right is actually exercised, whereas an independent contractor is retained to render a specified service subject to the control of the principal only as to the end result of the work, rather than as to the means by which the result is accomplished.</p> <p data-bbox="219 1365 1396 1533">School purchasing procedures should not be used in lieu of placing an individual on the payroll. An individual may only be retained for personal or professional services as an independent contractor if a determination has been made, in accordance with these guidelines that an employer-employee relationship does not exist.</p> <p data-bbox="219 1564 673 1606">Independent Contractor Services</p> <p data-bbox="219 1638 812 1669"><i>Definition of Independent Contractor Services</i></p> <p data-bbox="219 1701 1396 1774"><i>Personal services</i> performed by independent contractors are generally infrequent, technical, or unique functions performed by individuals rather than partnerships, firms, or corporations.</p>

2.3.3.5 Independent Contractor Guidelines

Services may include secretarial, drafting, technical editing, translation, and technical appraisals.

Professional services are performed by an independent contractor whose occupation is the rendering of such services and may include partnerships, firms, or corporations, as well as individuals. Services may include accounting or business services, architectural and engineering services, management and systems consultation, research, and maintenance and housekeeping services.

Engaging the Services of an Independent Contractor

The determination of an individual's status as an employee or independent contractor must be made prior to an engagement to perform personal or professional services. The determination must be made in accordance with the criteria contained in this policy. As a rule, individuals should be classified as independent contractors on an exception basis only.

The engagement of an independent contractor for personal or professional services is generally covered by the School's standard purchase order form and standard terms and conditions of purchase.

Contract

All completed contracts must contain the following information:

- the name and social security number of the individual performing the personal services (or the taxpayer identification number if the services are provided by a partnership, firm, or corporation);
- a description, in appropriate detail, of the services to be performed;
- where the work will be performed;
- when the work will be performed;
- whether School supplies or equipment will be used;
- the amount of payment requested by the independent contractor and the method of computation, i.e., by the hour, day, or job (the number of hours and days should be included, if applicable);
- a total 'Not to Exceed' dollar amount;
- whether the individual is presently employed by the School;
- whether the individual is an alien and, if so, the country of origin, type of visa, visa number and/or a copy of same.

2.3.3.5 Independent Contractor Guidelines

Payment for Services

No payment for services may be authorized until the following conditions have been met:

- all agreements, including amendments, have been executed;
- all the requisite documents have been received and approved.

Invoices must contain the following information:

- purchase order number;
- social security or taxpayer identification number;
- remit to address;
- payment terms;
- description of service; and
- period of performance (it should be so stated if the invoice is a progress billing).

Tax Withholding and Reporting

The School has no obligation to withhold income or FICA taxes on amounts paid to an independent contractor.

Independent Contractor Services Provided By Employees

School policy provides that an employee's School and private interests must be separated and that the School must be safeguarded against charges of favoritism in the purchase of goods and services.

Use of Independent Contractors for Short Courses

A determination must be made in regards to individuals retained for temporary personal services in connection with School short courses and programs as to whether the individuals should be hired as employees or retained as independent contractors. The guidelines apply to the following:

- course or program instructors hired for short and long duration;
- guest lecturers;
- panelists or workshop participants.

Misclassification of Workers

2.3.3.5 Independent Contractor Guidelines

It is important to determine the correct classification of workers as employees or independent contractors. This distinction is significant because an incorrect determination could result in the following:

- loss of reimbursement under Federal contract and grant funds;
- penalties for violation of State and Federal tax withholding laws;
- penalties for violation of Federal laws pertaining to the employment of aliens (Form I-9).

In addition, workers' compensation and unemployment insurance coverage requirements may be violated. Further, contractor status must be reported to the State of California for non-withholding tax tracking.

Determination of Employee/Independent Contractor Status

Background

Under the Internal Revenue Code, employers are required to withhold income and FICA taxes on wages paid to employees. The IRS and the courts define the term employee for purposes of these withholding requirements as any individual whose employment status meets the common law requirements for an employer-employee relationship. Generally, under common law if an employer has the right to direct and control the work of an individual who performs the services, not only as to the results to be accomplished but also as to the methods and means by which the results are accomplished, an employer-employee relationship exists. In this respect, even if the employer does not exercise the right to direct or control the manner in which the worker performs the services, the fact that the employer retains the right to do so is sufficient. On the other hand, if the individual is subject to the direction or control of another person only as to the end result, not as to the methods and means used to accomplish that result, the individual is not an employee. If the employer *does not control either the manner of performance or the result of the service*, an independent consultant relationship exists.

IRS Classification Factors

Since there are no explicit statutory standards for determining a worker's status under the employment tax laws, the IRS has identified twenty classification factors, based on common law standards that can be used to determine whether the employer has the right to *direct and control* the detail and means of a worker's duties. However, because business relationships change over time, the IRS and the courts have determined that some of the twenty factors are no longer as relevant as they once were. The primary factors listed below include key facts that illustrate *the right to direct and control*, or its absence. Although every factor is not

2.3.3.5 Independent Contractor Guidelines

necessarily present in every case, generally an employer-employee relationship exists when a worker:

- 1) Must comply with the employer's instructions about when, where, and how to do the job. (The weight of "instructions" depends on the degree to which instructions apply to how to get the job done rather than to the end result. However, instructions imposed by the employer in compliance with governmental or governing body regulations should be given little weight. Instructions may be in the form of manuals or written procedures.)
- 2) Receives training from or at the direction of the employer. (Periodic or on-going training about procedures to be followed and methods to be used indicates that the employer wants the services performed in a particular manner and is strong evidence that an employer-employee relationship exists.)
- 3) Lacks a significant investment in facilities used to perform services. (A significant investment is evidence that an independent contractor relationship may exist; however, it is *not* required for independent contractor status.)
- 4) Receives payments for business and/or traveling expenses. (Independent contractors are more likely to have unreimbursed expenses. In addition, the opportunity for profit or loss exists if expenses are unreimbursed.)
- 5) Does not offer services to the general public. (Any requirement that the individual work exclusively for one employer detracts from the argument that the worker is an independent contractor.)
- 6) Receives payments of regular amounts at set intervals. (Performance of a task for a flat fee is generally evidence of independent contractor status. Payment by the hour, week, or month usually indicates an employer-employee relationship.)
- 7) Cannot make a profit or suffer a loss from services. (The ability to realize a profit or incur a loss is probably the strongest evidence that a worker controls the business aspects of services rendered and is an independent contractor.)
- 8) Can be terminated by the employer. (Since employers rarely have complete flexibility in discharging an employee, the inability to freely discharge a worker, *by itself*, does not constitute sufficient evidence that the worker is an independent contractor.)
- 9) May quit work at any time without incurring liability. (The presence or absence of limits on a worker's ability to terminate, *by itself*, does not constitute sufficient evidence in determining a worker's status. On the other hand, an employer's ability to refuse payment for unsatisfactory work is characteristic of independent contractor status.)
- 10) Has a continuing working relationship with the employer (The relationship is considered continuing, even if the services are rendered on a part-time basis, are seasonal in nature, or if the individual actually works for only a short time.)

2.3.3.5 Independent Contractor Guidelines

- 11) Provides services that are integrated into the business, i.e., the success or continuation of the employer's business depend significantly on the performance of certain services that the worker provides.
- 12) Provides services that must be rendered personally.
- 13) Hires, supervises, and pays assistants on behalf of the employer, or if the employer hires, supervises, or pays assistants for the worker. (An independent contractor usually determines whether to hire assistants and, if so, whom to hire and what to pay them.)
- 14) Must do the work in a sequence set by the employer.
- 15) Relies on the employer to furnish tools and materials.
- 16) Works for only one employer at a time.

The fact that an individual's relationship with a business is temporary should be given little weight in making an employee/ independent contractor determination. Although an independent contractor will typically have a temporary relationship with a business, so too will employees engaged on a seasonal, project, or an "as needed" basis.

Other Factors

According to recent court decisions, the following factors also are relevant in determining a worker's status:

Written contract

A written contract or agreement describing the worker as an independent contractor is viewed by the court as evidence of the parties intent concerning control.

Incorporation

An individual who creates a corporation through which to perform services will generally be considered an employee of the corporation for Federal tax purposes, provided corporate formalities are properly followed and at least one non-tax business purpose exists.

Employee Benefits

If a worker receives employee benefits, such as paid vacation days, paid sick days, health insurance, life or disability insurance, or a pension, this constitutes some evidence of employee status.

2.3.3.5 Independent Contractor Guidelines

Section 530 - Safe Harbor Defense

The safe harbor rules of Section 530 of the Revenue Act of 1978 (and subsequent modifications) provide employers with relief from the taxes and penalties. Under these rules, if the following requirements are met, an individual will be deemed *not* to be an employee for purposes of income and employment taxes if *all three* of the following conditions are met:

- the employer had a *reasonable basis* for treating the worker as an independent contractor;
- the employer treated workers performing similar services as independent contractors; and
- all Federal tax returns filed by the employer must have consistently treated the independent contractor and all workers in similar positions as independent contractors.

Responsibilities

It is the responsibility of the Administration Office to determine the correct status of workers, in accordance with the procedures outlined in this Policy.

References

Cross References

2.3.4 Assets

<p>2.3.4.1 Cash Policies</p>
<p>Purpose</p> <p>This policy sets forth the regulations governing the establishment of School bank accounts, and the delegation of signature authority to other School representatives. In addition, it details the internal control procedures relating to the proper management of School funds.</p>
<p>Applicability</p> <p>All employees and faculty of NTPS</p>
<p>Policy</p> <p><i>General Description of Cash Operations</i></p> <p>The Administration Office manages all of the School's cash under the oversight of the CEO, including investing cash balances and ensuring that cash is available for payroll and other disbursements when needed. All School receipts are deposited in the School's deposit accounts; most disbursements are made from controlled disbursement bank accounts. All approved bank accounts are required to have a corresponding general ledger account except cash maintained in petty cash and change funds, which do not require further approval.</p> <p><i>Bank Account Controls</i></p> <p><i>Regulations Governing Bank Accounts</i></p> <p>The CEO is authorized to designate representatives of the School who may sign checks, drafts, or other orders for the payment of money or initiate electronic transfers of funds against School checking accounts (typically the CEO, President and/or the CFO). The CEO is authorized to approve the use of, and to direct banks or other depositories to honor the use of facsimile signatures. The CEO is the representative of the School (may be delegated to the CFO), and is authorized to execute agreements regarding, all matters relating to bank accounts and bank services; banking relationships; and financial and banking type services provided by entities other than banks.</p> <p><i>Establishment of Bank Accounts</i></p> <p>The CEO is authorized to instruct financial institutions regarding authorized signers on accounts. All requests to open new bank accounts or for changes to existing bank accounts must be submitted to the CEO for authorization.</p>

2.3.4.1 Cash Policies
<i>Withdrawals and Authorized Signers</i> The CEO and CFO have the authority to make withdrawals from bank accounts. This authority can be delegated to other School representatives. Representatives who are authorized to sign checks are: <ul style="list-style-type: none">• CFO (normally primary check signer)• CEO• President• By exception Administration Office Manager Policy 2.3.4.3 <i>Payments</i> describes the signature control procedures to be followed for checks for various types of expenses. Only the CEO has the authority to instruct banks to honor manual or facsimile signatures on checks.
References
Cross References Policy 2.3.4.3 <i>Payments</i>

2.3.4.2 Petty Cash
<p>Purpose</p> <p>This policy describes guidelines relating to the operation of a petty cash fund for the purchase of minor items.</p>
<p>Applicability</p> <p>All staff and faculty</p>
<p>Policy</p> <p><i>Nature of Petty Cash Funds</i></p> <p>Typically the school does NOT keep a petty cash fund as credit cards and checks are used for most purchases. If and when petty cash is kept and used the following rules apply.</p> <p><i>Proper Custody and Control of Petty Cash Funds</i></p> <ul style="list-style-type: none"> • The custody and control of Petty Cash Funds may be delegated to appropriate personnel; however, accountability and responsibility for proper use and care of the funds remain with the Office Manager. • Petty Cash Funds, other than advances used in making change, must be kept separated from all other funds, including personal funds, and not co-mingled. • The Petty Cash Funds are subjected to audit and should frequently be balanced to ensure that the cash plus paid receipts on hand equal the amount of the fund. <p><i>Limitations on Use of Petty Cash Funds</i></p> <ul style="list-style-type: none"> • Office supplies and materials which are available through other sources may not be purchased through the petty cash account except in emergency situations. If such a purchase is necessary, an explanation must be attached to the voucher. • Unless exceptions are specially approved by the Office Manager, Petty Cash should be used only when the purchase from one vendor is less than twenty- five dollars (\$25.00). Loans or advances to employees for personal use from Petty Cash Funds are forbidden. No checks may be cashed from Petty Cash Funds. <p><i>Securing of Proper Receipts for Petty Cash Expenditures</i></p> <p>Receipts for Petty Cash expenditures must be obtained from the vendor and must meet the following requirements:</p> <ul style="list-style-type: none"> • All receipts must be originals.

2.3.4.2 Petty Cash
<ul style="list-style-type: none">• The receipts must provide a complete description of the materials purchased or service rendered. If a cash register tape is provided, write the description beside each item on the tape.• The vendor's invoice must clearly indicate that it has been paid either by being stamped with the official "PAID" stamp of the firm and containing the name of the firm; by being made out to "CASH SALE"; by having the firm's cash register "CASH SALE" imprint on it; or by being marked "PAID" and signed by the clerk. <p>Reimbursement will not be provided when receipts show evidence of alteration.</p> <p><i>Reimbursement of Petty Cash Expenditures</i></p> <p>Whenever the cash in the fund is depleted to the extent requiring replenishment, or, in any event, at least once each fiscal quarter, the paid invoices should be reconciled and the petty cash fund reimbursed.</p>
References
Cross References

2.3.4.3 Physical Asset Control
<p>Purpose</p> <p>This document sets out the policies in relation to the maintenance of physical assets controlled by NTPS.</p>
<p>Applicability</p> <p>All staff and faculty</p>
<p>Policy</p> <p>The Operations office is responsible for identifying and reporting all items of School property which meet the property criteria.</p> <p><i>Definitions</i></p> <p>Property: Items with a cost or estimated/appraised value (gifts & donations) of \$1,000 or more and a useful life of one year or more.</p> <p>Cost: The initial price of the item or items (if constructed), including shipping and handling, applicable taxes, installation and ancillary costs (cords, cables, pipes, etc.) necessary for the item to function for the purpose for which it was acquired.</p> <p>Capital leases: Present value of minimum lease payments on costs of \$1,000 or greater.</p> <p>Repairs, betterments or improvements:</p> <ul style="list-style-type: none"> • extend the estimated useful life; • increased capacity; • substantial improvements in the quality of output; or • substantial reduction in operating cost. [Note: If the cost or value is \$1,000 or greater, it is capitalized.] <p><i>Ownership</i></p> <p>NTPS owns all property purchased with School funds and all property received as gifts. Although title to property purchased with funds from a grant or contract may not vest in the School, NTPS exercises the responsibilities of ownership for such property. No member of management or member of the staff or faculty may hold proprietary interest in any particular piece of School property.</p>

2.3.4.3 Physical Asset Control

Branch Chief's Responsibilities

The CAO & HT, COO and Director NFTI are responsible for safeguarding and maintaining property assigned to the department's control. This responsibility may be delegated by the CAO & HT, COO and Director NFTI to an appropriate Branch Chief (the administrator). Each Administrator is responsible for insuring a physical inventory of all property identified through the School property inventory system is conducted once each fiscal year. When a change in administrators occurs, the new administrator assumes responsibility for all property assigned and is well advised to promptly verify the accuracy of the assigned inventory.

Usage

School property should only be used in the performance of School functions. Property may not be rented or lent to any person or group for private use without the recommendation of the appropriate administrator and the written authorization of the President for Normal and routine curriculum and training use. Other use should be approved by the CEO. Property purchased with funds from grants and contracts may have additional usage restrictions.

Storage

School buildings or grounds may not be used for the permanent or continuous storage of personal property that is not used for official purposes; any property continuously stored in School facilities is presumed to be School property. An exception is made for office decorations (such as artwork or plaques)

Property Additions

Purchases of property must be approved in line with Policy 2.3.4.1 *Purchasing*. Items should be entered into the property register immediately.

Disposal of Property

School property may only be disposed of as outlined under Policy 2.3.5.4 *Disposal of Assets*.

Inventory Control and Accountability

The Operations Department is responsible for ensuring that all property is included in the inventory records/ property register.

The following procedures apply to the CAO & HT, COO and Director NFTI regarding inventory control and accountability.

2.3.4.3 Physical Asset Control
<ol style="list-style-type: none">1) A physical inventory of all property (those items included in the School inventory system) must be performed once each fiscal year.2) The Operations department will provide an inventory listing.3) The CAO & HT, COO and Director NFTI are to use the inventory listing to conduct the physical inventory. They must identify discrepancies, or exceptions, between the listing and the actual physical inventory. Items on hand that meet inventory criteria but do not appear on the listing need to be identified as additions. Items not on hand or not found that appear on the listing need to be identified either as deletions, or as “Unable to Locate”. “Unable to Locate” status leaves an item on inventory until it is either found or declared “Lost”.4) The CAO & HT, COO and Director NFTI should list exceptions in the form of changes on the inventory listing.5) The CAO & HT, COO and Director NFTI must complete the physical inventory and return it to the Operations office as scheduled by Operations. The appropriate administrator must sign the Inventory Listing.
References
Cross References Policy 2.3.4.1 <i>Purchasing</i> Policy 2.3.5.4 <i>Disposal Of Assets</i>

2.3.4.4 Disposal of Assets
<p>Purpose</p> <p>This document sets out the policies in relation to the disposal of physical assets controlled by NTPS.</p>
<p>Applicability</p> <p>All staff and faculty.</p>
<p>Policy</p> <p><i>Disposal of School Property</i></p> <p>School property may be disposed only when it becomes obsolete, is beyond repair, or is too expensive to maintain. Disposal must be approved by the CEO or designate. Disposal is handled by one of the following methods:</p> <p><i>Trade-In</i></p> <p>Items may be used as a trade-in when purchasing new equipment of a similar type.</p> <p>On a requisition, the property to be traded-in is to be listed as a separate item in a space directly below the specifications for the new equipment. Trade-in information should include a brief but detailed description of the item, including model and serial number.</p> <p>The equipment should be removed from the inventory/ fixed asset listing at the time the new equipment is added to the branch inventory.</p> <p><i>Surplus</i></p> <p>Surplus property is property that is:</p> <p>In excess of the present and expected needs of a branch or the School.</p> <p>Not satisfactory for further use within the branch or the School.</p> <p>Surplus property, which is no longer useful to the School, shall be disposed of in a manner as prescribed by the CEO. Any requests to declare property as surplus should be sent to the President for interim approval and then to the CEO for final approval. Property will be removed from the relevant inventory or fixed asset register at the time of disposal.</p>

2.3.4.4 Disposal of Assets

Scrap/Cannibalization

Old or worn-out equipment may be declared as scrap and may be stripped of useable parts (cannibalized) to maintain other School equipment or for other School needs. Cannibalization or declaration of scrap must be approved by the CEO. Operations are responsible for ensuring that the scrap equipment is picked-up and disposed of as prescribed.

Lost, Stolen or Missing Equipment

Lost, stolen or missing equipment is to be reported immediately upon discovery to the Operations office. Reports of all missing equipment should contain sufficient information to allow all personnel to file reports and perform necessary investigations. Information should include, but not be limited to, the following:

- Description of equipment and all identification numbers;
- Building and room location;
- When last used or seen;
- When discovered missing;
- What provisions were taken to protect item from theft or loss.

Repairs to Equipment

All requests for repairs to School equipment are to be submitted to the Operations office. The requisition should include the following information about the item:

- The make, model, property control number, and if applicable, the serial number;
- Symptoms and/or apparent problem;
- Estimated repair cost or maximum funds to be spent on repairs;
- Suggested vendor.

Unless the requesting branch has already obtained a firm repair price from a reliable source, a purchase order will be issued to a vendor for an estimate of repair. If the estimate is reasonable, the order will be amended authorizing the vendor to proceed with necessary repairs. If the expense is not justified, the order will be cancelled.

References

Cross References

2.4 Compliance Monitoring Management

2.4.1 Compliance Monitoring Management
<p>Purpose</p> <p>A guide to provide effective Compliance Monitoring Management.</p>
<p>Applicability</p> <p>All staff and faculty.</p>
<p>Policy</p> <p>Compliance Monitoring Management governs the procedures and processes for ensuring that an organization is compliant with all relevant laws, regulations, and internal policies. These policies typically include procedures for monitoring and tracking compliance, identifying and mitigating risks, and implementing corrective actions. The following are some key elements:</p> <ol style="list-style-type: none"> 1. Compliance monitoring procedures: A detailed set of procedures that outlines how compliance monitoring will be conducted, including the frequency, scope, and methodology of monitoring activities. 2. Risk assessment: A process for identifying and assessing the risks associated with non-compliance, including the likelihood and potential impact of non-compliance. 3. Corrective action: A process for identifying and implementing corrective actions to address instances of non-compliance, including the steps to be taken to prevent recurrence. 4. Reporting and documentation: A process for reporting and documenting compliance monitoring activities, including the results of monitoring activities, identified risks, and corrective actions taken. 5. Training and awareness: A process for providing training and awareness to employees on compliance monitoring policies and procedures, and the consequences of non-compliance. 6. Compliance monitoring roles and responsibilities: A clear definition of the roles and responsibilities of individuals responsible for compliance monitoring, including their authority and reporting lines. 7. Internal audit: A process for conducting audits to verify the effectiveness of compliance monitoring policies and procedures, and to identify areas for improvement without the involvement of external agencies. <p>The Compliance Monitoring Manager (CMM) is responsible for the compliance monitoring program and to report to the CEO and the Accountable Manager.</p>

2.4.1 Compliance Monitoring Management

By having a comprehensive compliance monitoring management policy in place, organizations can ensure that they are meeting their legal and ethical obligations, reducing their exposure to risk, and improving their overall governance and reputation.

References

Cross References

2.5 Marketing

2.5.1 Marketing
<p>Purpose</p> <p>A guide to effectively provide a promotional marketing process for NTPS.</p>
<p>Applicability</p> <p>All staff and faculty.</p>
<p>Policy</p> <p>General marketing plans for the promotion of the school shall be conducted at specific events that will potentially support the attraction of new customers. Essentially, there are three types of marketing processes: marketing on site using the NTPS booth; marketing while on field trips, overseas trips, student aircraft evaluations, and final projects; and marketing at the school through visitors, students, and in house events.</p> <p>The onsite marketing uses the booth as a center stone for the NTPS personnel and for handouts to promotion the attention of the school. NTPS personnel should be selected and scheduled for booth duties throughout the event. All marketing handouts should be up to date (schedule dates and prices) and approved through the President to the CEO. The main events currently using this venue is the annual SETP symposium in Anaheim, CA. Future events could include; local scheduled air shows, helicopter and aircraft association conferences.</p> <p>Marketing on a school trip, staff should be prepared to discuss marketing ideas with the customers as well as distribution of approved marketing material. Staff personnel intending to travel under school business, should discuss marketing plans with the CMO, President, and/or CEO.</p>
<p>References</p>
<p>Cross References</p>

3 Human Resources

3.1 General Human Resources

3.1.1 General
<p>Purpose</p> <p>This policy is to provide the principles of ethical conduct expected from employees and human resources policies.</p>
<p>Applicability</p> <p>All staff and faculty</p>
<p><i>Code of Conduct</i></p> <p>Employees are expected to conduct themselves in a professional and respectful manner at all times, treating colleagues, customers, and vendors with dignity and courtesy. Discrimination, harassment, or any other behavior that creates a hostile work environment will not be tolerated. Employees are expected to act with integrity and honesty at all times, adhering to the highest ethical standards. This includes reporting any unethical or illegal behavior they witness in the workplace. Employees are expected to comply with all applicable laws and regulations, including those related to safety, health, environmental protection, and labor practices.</p> <p>Employees are expected to fulfill their job responsibilities with diligence, efficiency, and accuracy, meeting all deadlines and quality standards. Employees are expected to conduct themselves in a manner that will not embarrass or discredit the good reputation of the NTPS. Employees are expected to give loyal and efficient service and to cooperate in properly and professionally doing the work assigned.</p> <p>Employees are expected to avoid conflicts of interest between their personal interests and those of the company. This includes avoiding situations that could compromise their judgment or create the appearance of impropriety.</p> <p>Employees are expected to protect the confidentiality and privacy of all company information, including proprietary, financial, and personal data. This includes following all data protection laws and regulations, and only accessing information that is necessary for their job responsibilities.</p>

3.1.1 General

Employees are expected to use company property and resources, including computer systems, internet access, and office equipment, responsibly and for business purposes only.

Employees are encouraged to report any violations of the employee code of conduct, company policies, or applicable laws and regulations. Reports may be made to a supervisor, human resources representative, or through an anonymous reporting mechanism.

Human Recourses and Employee's handbook

Human resources policies are in place to ensure fair and consistent treatment of all employees. The policies in this statement cover a range of topics, including recruitment, hiring, compensation, benefits, performance management, and separation.

Employees are expected to read and comply with the policies outlined in the *Employee Handbook*, which provides more specific rules and guidelines on these topics. The handbook is a comprehensive guide to NTPS policies, procedures, and expectations, and is designed to help employees understand their rights and responsibilities. The handbook is not expect to answer all questions. Supervisors and Human Resources also serve as a major source of information.

The *Employee Handbook* is subject to change at any time. Employees will be notified of any changes in a timely and transparent manner. It is important to read and understand the handbook, which can help to promote compliance with company policies and prevent misunderstandings.

References

Cross References

NTPS Employee Handbook

3.1.2 Faculty Position Descriptions
<p data-bbox="217 254 326 289">Purpose</p> <p data-bbox="217 323 1386 443">This policy is designed to set out the functions of a faculty member and ensure that faculty members have the academic and professional qualifications to provide competent, high quality instruction to the students of the National Test Pilot School.</p>
<p data-bbox="217 495 391 531">Applicability</p> <p data-bbox="217 564 358 600">All faculty</p>
<p data-bbox="217 653 305 688">Policy</p> <p data-bbox="217 722 651 758">1) General Standards for Faculty</p> <p data-bbox="217 791 1386 911">Pursuant to NTPS goal of maintaining a faculty of distinguished teacher-scholars, the selection and evaluation of faculty members must proceed in accord with the following standards:</p> <ul data-bbox="266 945 1386 1108" style="list-style-type: none"> • each faculty member should fulfill the duties of a faculty member (see Functions of a Faculty Member); • each faculty member should possess the appropriate academic and professional qualifications (see Qualifications). <p data-bbox="217 1142 1062 1178">Refer to the Organizational Management Manual for more details.</p> <p data-bbox="217 1211 412 1247">2) Definitions</p> <p data-bbox="217 1281 516 1316"><i>Terminal Qualification</i></p> <p data-bbox="217 1350 1386 1801">Ordinarily the terminal degree is a doctorate, however in the Test Pilot and Flight Test Engineer professions there has been no academic award given to Test Pilots and Flight Test Engineers, therefore graduation from Test Pilot School is considered the terminal qualification. This can be combined with a master's degree plus relevant professional experience to satisfy the requirements of ABET and BPPE. A master's degree in a related field (such as Science or Technology or Management with specialties including but not limited to Physics, Aeronautics, Astronautics, Aerodynamics etc.) combined with experience in the specific specialization may also be acceptable for some positions at the school. It is, however, the responsibility of the school to justify the master's degree or graduation from test pilot school as the terminal qualification for faculty members teaching in those disciplines.</p>

3.1.2 Faculty Position Descriptions

3) Functions of a Faculty Member

The duties of a faculty member are:

Teaching

- a) thoroughly preparing for and instructing scheduled classes;
- b) preparing, supervising, and grading tests, examinations and papers;
- c) preparing and distributing course outlines in accord with NTPS Manuals;
- d) reporting and recording grades in accordance with school policies and announced deadlines;
- e) holding conferences with students in general, and specifically with students and advisees during posted office hours.

Scholarship

- a) pursuing scholarly activities and presenting the results thereof;
- b) affiliating with and participating in professional societies.

School and Professional Service

- a) serving as advisor to student extracurricular activities as appropriate;
- b) advising students assigned by the branch chief on academic matters;
- c) maintaining familiarity with School policies and regulations;
- d) serving on faculty committees as appropriate;
- e) attending departmental and general faculty meetings as well as such School functions as graduations;
- f) providing such other temporary professional services as are deemed appropriate by the President (Accountable Manager), CAO, HT, COO and branch chiefs (e.g., covering a class for an ill colleague on an emergency basis);
- g) attending to those duties that are implied by this Policies and NTPS Manuals to pertain to the position of faculty member (e.g., attending the annual evaluation conference).

4) General Qualifications

Graduate Programs

Each faculty member teaching courses at the master's degree level should hold the terminal degree in the teaching discipline or a related discipline. For Flight Test this is typically TPS graduate.

3.1.2 Faculty Position Descriptions

In some cases, the school may appropriately include as graduate faculty those members who have demonstrated exceptional scholarly or creative activity or professional experience, but who may not possess the required academic credentials. When the school presents indicators of competence or academic credentials other than the terminal degree in the discipline for its graduate faculty, it will justify the employment of such faculty.

Faculty candidates with less than the desired academic preparation should be exceptions. The majority of graduate faculty members should possess the terminal degree. Exceptions are restricted to where necessary aviation experience can be clearly justified and documented. It is the responsibility of the school to keep on file, for all faculty members, documentation of academic preparation such as official transcripts and, if appropriate for demonstrating competence, official (third party) documentation of professional and work experience, technical and performance competency, records of publications, and certifications and other qualifications.

Non Graduate Programs

Each full-time and part-time faculty member teaching should hold a master's degree in a related discipline. In exceptional cases, outstanding professional experience and demonstrated contributions to the teaching discipline may be presented in lieu of formal academic preparation. Such exceptions should be justified by the institution on an individual basis.

Technical specialty courses in programs should be taught by faculty having both academic preparation and work experience. The minimum preparation in addition to technical competence for faculty teaching in technical and professional fields must be at the degree level at which the faculty member is teaching.

In professional and technical fields where job experience may be more valuable than academic preparation, an institution may employ faculty members who do not hold the terminal degree.

Position Descriptions

The appropriate qualifications for individual subject areas are described in the NTPS Organizational Management Manual.

3.1.2 Faculty Position Descriptions
References
Cross References

3.1.3 Personnel Requirements – Instructors & Staff

Purpose

This document deals with personnel requirements identified at the National Test Pilot School to perform the activities and tasks in accordance with applicable requirements for Part-ORA.

Applicability

All faculty, staff.

Policy

NTPS Personnel

The National Test Pilot School employs qualified instructors and personnel to perform academic and test flying instruction activities.

At NTPS, every test pilot instructor involved in the activities of flight test instruction should be a graduate of a Test Pilot School recognized by the Society of Experimental Test Pilots. All instructor pilots should hold a minimum of Commercial Pilot rating and be Certified Flight Instructor (CFI) qualified, in accordance with FAA regulations, to operate and instruct on aircraft registered under the experimental category. For the specific training approved by EASA to conduct Category I & II Test Pilot ratings and Flight Test Instructor ratings, all test pilot instructors must have an EASA Flight Test Instructor rating.

NTPS minimum personnel required for approved courses

NTPS basis its minimum number of personnel to conduct the approved courses on a basis of consolidated experience, having run these courses for nearly 40 years. The primary parameters taken into account are:

- workload related to ground academic lectures;
- number of sorties typically generated per students;
- maximum number of students who can be accepted in a single class;
- projected number of aircraft available (including maintenance turn over and need for specific exercises).

The process to determine the minimum allocated number of instructors per course assumes the following:

- 1 hour of academic/ground instruction = 1 working hour per instructor;
- 1 hour of flying instruction = 1.25 working hour of workload per instructor;

3.1.3 Personnel Requirements – Instructors & Staff

- Maximum desired number of working hours per day per instructor = 8 hours;
- Maximum desired number of fully dedicated instruction hours per instructor per day = 75% of the maximum = 6 hours per day.

Based on the assumptions above and considering all parameters mentioned, NTPS identifies the following minimum number of instructors per type as the typical manning requirements:

- Fixed Wing: 3-4 FW test pilot instructors and 1 flight test engineer (for both Category I and II courses);
- Rotary Wing branch: 2 RW test pilot instructors and 1 flight test engineer (for both Category I and II courses);
- Flight Test Instructor Course: 1 FW or RW test pilot and 1 FW or RW flight test engineer, depending on the type of instructor specialty.
- For all programs above, the following minimum staff personnel required to sustain daily operations of the Organization is:
 - 1 scheduler working at the Operations Office;
 - 1 life support maintainer;
 - 1 administrator;
 - 1 Information Technology dedicated person.

Maximum number of students for professional courses

Given the complexity of academics taught and the need of a high level of supervision, the desired student to instructor ratio for the professional course is 6:1 or less.

It is important to note that part of the Category II course overlaps with the Category I course. During these shared academics weeks, the student ratio must consider the sum of both Category I & II classes.

For the Test Pilot Instructor rating course, the maximum number of Test Pilot Instructor students is 5.

In the cases where an over demand of student participation is expected to significantly exceed the above ratios, the extra students will be postponed to the following available class/course if possible.

NTPS Personnel enrollment and continuous training

Upon enrollment within the working personnel staff, the new employee receives a checklist of forms with all instruction explaining the forms that are supposed to be filled in, as per the California Employers Association. Following initial enrollment and familiarization with

3.1.3 Personnel Requirements – Instructors & Staff

NTPS daily activities, the new employee receives a detailed briefing by the Chief of Operations about his/her job description.

For the purposes of the EASA ATO approval, the Compliance Monitoring Manager or a delegated person will provide the initial training for the new employee at slots of approximately 1 hour sessions. This training consists of Power Point presentations with specifics about the following information:

- NTPS documentation (OMM, OM, TM);
- courses (general layout, course flow, etc.);
- Safety Management System and safety reporting procedures;
- specifics of ground and flight training (for instructors);
- NTPS' Compliance Management System;
- students' records and training procedures;
- academic planning and lecturing process;
- flight scheduling and operations procedures (for non-instructor staff).

For every presentation, a detailed follow up reading and explanation of the appropriate documentation will be accomplished by the CMM, who will guide the new employee throughout the process of being able to find the required material, and to use it systematically, when necessity arises (for example, safety reporting procedures and process to inform the management about any safety related issues, at all levels).

All new hired personnel will undertake the initial training identified above. For more specifics of instructors and staff personnel, refer to the paragraphs below "*Instructor Experience, Qualification and Records*" and "*Personnel Qualifications and Records*".

Twice a year, generally the day that follows Graduation Day for the Category I Professional Course students, a stand down safety meeting is held at NTPS' headquarters when procedures and rules are normally revisited and refreshed for all personnel, collectively and within individual groups. During these full day events, EASA refresh training is also provided by the Compliance Monitoring Manager for all personnel, about the same topics covered during initial training.

Every member of the staff will receive yearly performance appraisals about his/her duty from the respective supervisor. Also, during the performance appraisals phase, all staff members will be made aware of the rules and procedures relevant to the exercise of their duties and to the fulfillment of their safety responsibilities.

Personnel Records

3.1.3 Personnel Requirements – Instructors & Staff

NTPS maintains oversight on qualifications, medical checks expirations, training requirements, safety training records and currencies of all NTPS personnel and students.

Instructors' Experience, Qualifications and Records

Satisfactory experience is necessary for NTPS' instructors in order to successfully maintain a safe level of proficiency. In order to keep this up, the Operation Office schedules regularly proficiency instructor sorties, aimed to practice specific exercises and Flight Test Techniques.

The detailed proficiency requirements are documented in the Operations Manual.

Qualifications of instructors on different aircraft are performed in accordance with Operations Manual procedures. Any qualitative evaluation opportunity to enhance the instructor experience should be encouraged. Operations is responsible for keeping records updated for all instructor personnel in accordance with the Operations Manual.

Personnel' Qualifications and Records

Personnel other than instructors are hired for specific roles to be filled in within NTPS. People hired for these positions should have already a sufficient level of expertise to properly operate in the assigned role. Specific on-job training would be scheduled by the Operations Office during the first period of enrollment of new personnel, to better calibrate the new employee to the normal operations of the School and to provide the necessary training reported above.

The Administration Office is responsible for keeping administrative records for all personnel. These include all forms provided to the new employee. Any other form or personal documentation related to any administrative aspect of the employee is kept in a locked drawer within the Administrative Office

References:

3.1.3 Personnel Requirements – Instructors & Staff
Commission Regulation (EU) No 290/2012 of 30 March 2012 – Annex VII – ORA.GEN.210 (c) (d) (e)
Cross References:

3.1.4 Graduate Assistants
<p data-bbox="217 258 321 289">Purpose</p> <p data-bbox="217 323 1386 396">This policy sets out the guiding principles regarding Graduate Assistants at the National Test Pilot School.</p>
<p data-bbox="217 459 386 491">Applicability</p> <p data-bbox="217 525 477 556">All faculty and staff</p>
<p data-bbox="217 617 302 648">Policy</p> <p data-bbox="217 682 1308 714">NTPS, has a Graduate Assistant program (hereafter referred to as ‘the GA Program’).</p> <p data-bbox="217 747 821 779">The primary objectives of the GA Program are:</p> <ul data-bbox="269 821 1386 1020" style="list-style-type: none"> <li data-bbox="269 821 1386 894">• to give Graduate Assistants the opportunity to complete a Master of Science degree in Flight Test Engineering; <li data-bbox="269 907 1386 1020">• to give Graduate Assistants engineering work experience in flight test related fields including: mechanical and electronic design and development of instrumentation, simulators. <p data-bbox="217 1062 1386 1178">Graduate Assistants who complete the necessary academic modules in conjunction with the required flying may be awarded a certificate as a Flight Test Engineer. The GA Program is therefore a program aimed at training Flight Test Engineers as opposed to Test Pilots.</p> <p data-bbox="217 1213 1386 1371">The selection criteria used by the NTPS GA Program Selection Committee will therefore be the similar to the criteria used by NTPS clients for selection of FTE Professional Course candidates and should not be confused with the minimum requirements to be accepted into the FTE Professional Course.</p> <p data-bbox="217 1407 1386 1564">Typically, candidates with a bachelor’s degree in engineering, a few years’ experience in design, manufacture and maintenance and a strong desire to be an FTE are preferred. Experience as a pilot is beneficial, but is not a requirement, and the lack of flight experience is not a disqualification.</p> <p data-bbox="217 1600 1386 1715">Further preference will be given to a.) engineering graduates who attended local high schools, b.) engineering graduates from the greater United States, and c.) eligible candidates from the rest of the world (in this order).</p>

3.1.4 Graduate Assistants

Candidates will be ranked based on merit and typically a minimum GPA of 3.0 is required, but candidates will also be assessed on a combination of academic achievement and past experience and qualities such as enthusiasm, teamwork and writing skills.

Graduate Assistants will report to the assigned faculty member who will also serve as their academic advisor throughout the program.

Graduate Assistants will typically serve a term of 3 years and will receive a modest stipend.

Owing to restrictions on student visas, work for compensation will typically be limited to 50% of the time (~20 hours per week) while academics will consume the other 50%; however the distribution throughout the year will be determined by the study plan and work requirements.

The primary function of Graduate Assistants is to:

- a) attend academic modules and work on projects towards earning a Master of Science degree in accordance with an approved study plan;
- b) assist with practical exercises for NTPS modules;
- c) assist with Research* and Development** projects;
- d) act as design/project engineers for approved engineering projects.

* Research is defined as formal work undertaken systematically to increase the stock of knowledge, specifically in the field of flight test engineering, and to use this stock of knowledge to devise new applications.

** Development is defined as the complete process of bringing a new product to NTPS and includes: idea generation, idea screening, concept development and testing, beta testing and technical implementation. Once implemented, the technology will be handed over to NTPS for routine operations.

Graduate Assistants may be used to assist Branch Chiefs and Course Coordinators with the preparation and execution of practical exercises for academic modules (this specifically excludes course delivery or development) as required by the academic schedule. In such instances, the Graduate Assistants will be scheduled by NTPS Operations.

Graduate Assistants may also be requested by Branch Chiefs or Course Coordinators to assist with various other tasks as agreed to by Director NFTI.

3.1.4 Graduate Assistants
Other terminology sometimes used for Graduate Assistants: ‘Intern’ (usually refers to as an under-graduate student performing summer vacation work) and ‘Research Assistant’ (usually refers to a Post-Doctorate or PhD candidate).
References
Cross References NTPS Employee Handbook

3.2.1 Performance and Compensation Reviews
<p>Purpose</p> <p>This policy sets out the guiding principles regarding Performance and Compensation Reviews at the National Test Pilot School.</p>
<p>Applicability</p> <p>All staff and faculty</p>
<p>Policy</p> <p>NTPS value the professional growth and development of our employees. Performance reviews are conducted to assess individual contributions, align personal goals with organizational objectives, and provide constructive feedback. These evaluations are a collaborative effort between employees and their respective supervisors, ensuring fair and objective assessments. The feedback generated from these reviews serves as a catalyst for continuous improvement, professional development, and goal setting. It is NTPS' commitment to maintaining a transparent and constructive review process, promoting a culture of learning and excellence within the organization.</p> <p>NTPS is committed to pay equity and we pay based on knowledge, experience, skills, performance and contribution to the company to ensure we provide equitable compensation for our employees and remain competitive in the market.</p> <p>NTPS endeavors to review performance and compensation at least annually. Compensation decisions will be made during the annual review process, or throughout the year. Reviews occur at least annually and are based on clear, measurable criteria relevant to each employee's role.</p>
<p>References</p>
<p>Cross References</p> <p>NTPS Employee Handbook</p>

4 Information Systems

4.1 General IS Management

4.1.1 Information Technology Code of Ethics
<p>Purpose</p> <p>The objectives of this policy include:</p> <ul style="list-style-type: none"> • to articulate the rights and responsibilities of persons using information technology resources owned, leased, or administered by National Test Pilot School (NTPS); • to protect the interests of users and NTPS; and • to facilitate the efficient operation of NTPS information technology systems.
<p>Applicability</p> <p>All students, staff, faculty and contractors using NTPS IT facilities</p>
<p>Policy</p> <p>1) Definitions</p> <ul style="list-style-type: none"> • <i>“Information technology resources”</i> or <i>“IT resources”</i> include computers, data processing or storage functions, computer systems and services, servers, networks, printers and other input/output and connecting devices, and related computer records, programs, software, and documentation. • <i>“Personal or private for-profit use”</i> shall mean a use of NTPS information technology resources which has as a primary objective financial gain of the user. Activities by a student, which are typical of the student job search process, (e.g. use of campus e-mail to contact potential employers or posting of one's resume on NTPS's website) are not to be considered personal or private for-profit uses. • <i>“School record”</i> includes any document, including papers, letters, maps, books, photographs, microfilms, electronic data processing files and output, films, sound recordings, or other material, regardless of physical form or characteristics containing information relating to the conduct of the school's business prepared, owned, used, or retained by the School. Until determined otherwise or unless it is clear from the context, any record residing on school-owned computing facilities is deemed to be a School record for purposes of the Policy. Consistent, however, with the principles of academic freedom and shared governance, freedom of speech, and privacy of information, NTPS will make a good faith, reasoned attempt to distinguish school records from personal and other records where relevant to legal disclosures, or for other applicable purposes of this Policy

4.1.1 Information Technology Code of Ethics

- “*School email record*” is a school record in the form of an email regardless of whether any of the computing facilities utilized to create, send, forward or reply to, transmit, store, hold, copy, download, display, view, read, or print the email record are owned or operated by NTPS. In accordance with the definition of school record, until determined otherwise or unless it is clear from the context, any email record residing on school-owned computing facilities is deemed to be a school email record for purposes of the Policy. This includes, for example, personal email. Consistent, however, with the principles of academic freedom and shared governance, freedom of speech, and privacy of information, NTPS will make a good faith, reasoned attempt to distinguish school email records from personal and other email records where relevant to legal disclosures, or for other applicable purposes of this Policy
- 2) Conformance with State and Federal Policies

This policy is intended to be fully consistent with the applicable laws of the State of California and of the United States of America, as they currently exist or as they may be amended in the future. To the extent that a discrepancy exists between this policy and State or Federal policy, State or Federal policy shall take precedence.

3) User Responsibilities

The following lists of user responsibilities are intended to be illustrative, and not exhaustive. Subject to conformance with Federal and State of California law, NTPS is authorized to supplement the user responsibilities contained herein.

Access

- a) Users shall obtain proper authorization before using NTPS information technology resources.
- b) Users shall not use NTPS information technology resources for purposes beyond those for which they are authorized.
- c) Users shall not share access privileges (account numbers and passwords) with persons who are not authorized to use them.
- d) Users shall not use NTPS information technology resources in an attempt to access or to actually access computers external to the NTPS system when that access is not authorized by the computer's owner (no “hacking” allowed).
- e) Users shall not use NTPS information technology resources that utilize software, apps, websites, or networks that are prohibited by U.S. Government regulations/contracts.

4.1.1 Information Technology Code of Ethics*Respect for Others*

- a) A user shall not attempt to obstruct usage or deny access to other users.
- b) Users shall not transmit or distribute material that would be in violation of existing NTPS policies or guidelines using NTPS technology resources.
- c) Users shall respect the privacy of other users, and specifically shall not read, delete, copy, or modify another user's data, information, files, e-mail or programs (collectively, "electronic files") without the other user's permission. Users should note that there should be no expectation of privacy in electronic files stored on the resident memory of a computer available for general public access, and such files are subject to unannounced deletion.
- d) Users shall not intentionally introduce any program or data intended to disrupt normal operations (e.g. a computer "virus" or "worm") into NTPS information technology resources.
- e) Forgery or attempted forgery of e-mail messages is prohibited.
- f) Sending or attempts to send unsolicited junk mail or chain letters is prohibited.
- g) Flooding or attempts to flood a user's mailbox is prohibited.

Respect for NTPS Property

- a) A user shall not intentionally, recklessly, or negligently misuse, damage or vandalize NTPS information technology resources.
- b) A user shall not attempt to modify NTPS information technology resources without authorization.
- c) A user shall not circumvent or attempt to circumvent normal resource limits, logon procedures, or security regulations.
- d) A user shall not use NTPS information technology resources for purposes other than those for which they were intended or authorized.
- e) A user shall not use NTPS information technology resources for any private or personal for-profit activity.
- f) Except for those not-for-profit business activities which are directly related to an employee's job responsibilities or which are directly related to an organization which is affiliated with NTPS, a user shall not use NTPS information technology resources for any not-for-profit business activities, unless authorized by the CEO (or his/her designee).
- g) Users shall at all times endeavor to use NTPS information technology resources in an efficient and productive manner, and shall specifically avoid

4.1.1 Information Technology Code of Ethics

excessive game playing, printing excessive copies of documents, files, data, or programs; or attempting to crash or tie-up computer resources.

Additional Responsibilities of Employees and Independent Contractors

- a) Users who are Employees and Independent Contractors shall not make use of NTPS information technology resources for purposes which do not conform to the purpose, goals, and mission of NTPS and to the users' job duties and responsibilities.
 - b) Users shall not use NTPS information technology resources for solicitation for religious or political causes.
- 4) No Unlawful Uses Permitted

Users shall not engage in unlawful uses of the information technology system resources of NTPS. Unlawful activities are in violation of this policy and may also subject persons engaging in these activities to civil and/or criminal penalties. This list of unlawful activities is illustrative and not intended to be exhaustive.

Obscene materials

The distribution and display of obscene materials is prohibited by the laws of California (see California Penal Code Section 311). Obscene matter is defined under Californian law (see CPC Section 311 (a)) as matter that:

- a) taken as a whole, that to the average person, applying contemporary statewide standards, appeals to the prurient interest;
- b) and that, taken as a whole, lacks serious literary, artistic, political, or scientific value.

Californian Penal Code Section 311 specifically prohibits the sale or distribution of child pornography. In addition, Federal law (18 U.S.C. 2252) prohibits the distribution across state lines of child pornography.

Computer crime

California Penal Code Section 502 states that any person is guilty of a public offense who:

- a) knowingly accesses and without permission alters, damages, deletes, destroys, or otherwise uses any data, computer, computer system, or computer network in order to either (A) devise or execute any scheme or

4.1.1 Information Technology Code of Ethics

- artifice to defraud, deceive, or extort, or (B) wrongfully control or obtain money, property, or data;
- b) knowingly accesses and without permission takes, copies, or makes use of any data from a computer, computer system, or computer network, or takes or copies any supporting documentation, whether existing or residing internal or external to a computer, computer system, or computer network;
 - c) knowingly accesses and without permission adds, alters, damages, deletes, or destroys any data, computer software, or computer programs which reside or exist internal or external to a computer, computer system, or computer network;
 - d) knowingly and without permission disrupts or causes the disruption of computer services or denies or causes the denial of computer services to an authorized user of a computer, computer system, or computer network; or
 - e) knowingly introduces any computer contaminant into any computer, computer system, or computer network.

Defamation

Defamation is a civil tort that occurs when one, without privilege, publishes a false and defamatory statement, which damages the reputation of another.

Harassment

It is against the law and School policy to harass someone through email. Harassment is not tolerated in any form. The School gives full support to investigations of messages described as obscene, harassing, and/or threatening. Harassing, fraudulent, obscene, threatening, or defamatory messages or materials should not be sent or forwarded to anyone.

Violation of Copyright

Federal law gives the holder of copyright five exclusive rights, including the right to exclude others from reproducing the copyrighted work. Sanctions for violation of copyright can be substantial. Violation of copyright is unethical and is against student, staff and faculty codes of conduct.

5) World Wide Web Home Pages

The principles of use articulated above in Sections 3 and 4 are generally applicable to World Wide Web home pages. For example, use of NTPS information technology resources to post a web page for personal or private for-profit use is prohibited under

4.1.1 Information Technology Code of Ethics

Section 3 *Respect for NTPS Property*. Obscene content is prohibited under Section 4 *Obscene Materials*. Incorporation of copyrighted material, without either permission of the copyright holder or under a lawful exemption, is prohibited under Section 4 *Violation of Copyright*.

In addition to the principles of use outlined in Sections 3 and 4, users may not incorporate into web pages or other electronic documents the trademarks or logos of others without express, written permission. Persons who are not employees of NTPS may not make use of NTPS trademarks or logos without express, written permission. The CEO has the authority to approve a proposed use of NTPS's trademarks and logos by employees on NTPS's web pages.

6) Advertising

Use of NTPS information technology resources to promote or advertise activities or entities which are not related to NTPS, is prohibited unless such use is consistent with the mission of NTPS and results in substantial benefit to NTPS. The CEO is authorized to determine whether a given use is consistent with the mission of NTPS and results in substantial benefit to NTPS.

7) Personal Use

NTPS electronic mail services may be used for incidental personal purposes provided that, in addition to the foregoing constraints and conditions, such use does not:

- a) Directly or indirectly interfere with the school operation of computing facilities or electronic mail services;
- b) Burden the school with noticeable incremental cost; or
- c) Interfere with the email user's employment or other obligations to the school.

Non-school resources should be used for extensive or recurring communication not related to school purposes. Email records arising from personal use are subject to the presumption that any email residing on NTPS owned, leased, or administered computing facilities is a school record in accordance with the Section 1 definition of school email records. Email users should assess the implications of this presumption in their decision to use school electronic mail services for personal purposes.

8) NTPS Monitoring and Inspection of Electronic Records

4.1.1 Information Technology Code of Ethics

All electronic school records, as defined in Section 1, that are sent, received, or stored on computers owned, leased, or administered by NTPS are the property of NTPS. As the property of the School, the content of such records, including electronic mail, is subject to inspection by NTPS personnel.

It should be noted that any private (i.e. non-school) records sent, received, or stored on computers owned, leased, or administered by NTPS are, in accordance with Section 1, deemed to be a school record until determined otherwise and may therefore be subject to the same monitoring and inspection activities as school records.

Whilst NTPS does not routinely do so, NTPS is able and reserves the right to monitor and /or log all network activity of users without notice, including all e-mail and Internet communications. Users should have no reasonable expectation of privacy in the use of these resources.

9) Disclosure of Electronic Records

Disclosure of the electronic records of all users which are maintained using NTPS IT resources may be made pursuant to a valid subpoena or court order, when otherwise required by federal, state or local law, or when authorized by the CEO.

10) Retention of Electronic Records

Electronic records needed to support School functions must be retained, managed, and made accessible in record-keeping or filing systems. Each employee of NTPS, with the assistance of his or her supervisor as needed, is responsible for ascertaining the retention requirements for those electronic records in his or her custody. The system administrator is not responsible for meeting the record retention requirements, and NTPS, as owner of electronic records stored on NTPS computers, reserves the right to periodically purge electronic records, including e-mail messages. Users who are either required to retain an electronic record, or who otherwise wish to maintain an electronic record should either:

- a) Print and store a paper copy of the record in the relevant subject matter file;
or
- b) Electronically store the record on a storage medium or in an electronic storage location not subject to unannounced deletion.

11) Confidentiality

4.1.1 Information Technology Code of Ethics

The confidentiality of electronic mail and electronic records cannot be assured. Such confidentiality may be compromised by applicability of law or policy, including this Policy, by unintended redistribution, or because of inadequacy of current technologies to protect against unauthorized access. Users, therefore, should exercise extreme caution in using email or other electronic records to communicate confidential or sensitive matters.

NTPS employees are required to respect the privacy of students and are required to take the necessary precautions to protect the confidentiality of, including the prohibition to disclose, any personal or confidential information encountered in the performance of their duties. This policy applies equally to electronic records.

Despite this, users should be aware that to ensure proper functioning of the school network and email services, system administrators occasionally need to observe the operability or transmission of files or emails and may inadvertently see the contents of email messages or files. Except as provided elsewhere in this Policy, they are not permitted to see or read the contents intentionally where not relevant to the original purpose; or to use or disclose the information gained. One exception, however, is that of systems personnel who may need to inspect email when re-routing or disposing of otherwise undeliverable email. This exception is limited to the lowest level of inspection required to perform such duties. Systems personnel are not exempted from the prohibition against disclosure of personal and confidential information, unless it is required in a genuine attempt to route the otherwise undeliverable email to the intended recipient. Re-routed mail normally should be accompanied by notification to the recipient that the email has been inspected for such purposes.

NTPS attempts to provide secure and reliable network and email services. NTPS follows sound professional practices in providing for the security of electronic mail records, data, application programs, and system programs under their control. Since such professional practices and protections are not foolproof, however, the security and confidentiality of electronic records and mail cannot be guaranteed. Furthermore, NTPS has no control over the security of electronic records or email that has been downloaded to a user's computer. As a deterrent to potential intruders and to misuse of electronic records and email, users should employ whatever protections (such as passwords) are available to them. It is strongly recommended that particular care be taken to protect any passwords that are used. Passwords should not be divulged to anyone.

4.1.1 Information Technology Code of Ethics

NTPS recommends that users, particularly users who are using shared computers, to always log out of browsers or other online applications at the end of each computer session to ensure that others cannot access their personal information and correspondence.

It is important that users recognize that when using NTPS's information technology resources to access the internet or send email only some of the networks, sites and other systems that may transfer and/or record a user's information are controlled by NTPS. Consequently, the privacy of sensitive, confidential, or personally identifiable information is often beyond NTPS's control. When users communicate with others online and disclose personal information such as actual name, e-mail address, on a web page, in a newsgroup, chat room, forum, or in an e-mail message, information may be collected and used by others in ways that the user did not intend or approve. Care should always be exercised when disclosing confidential, sensitive, or personal information either electronically or by more traditional means

Users of electronic mail services should be aware that even though the sender and recipient have discarded their copies of an electronic mail record, there may be back-up copies that can be retrieved. Systems may be "backed-up" on a routine or occasional basis to protect system reliability and integrity, and to prevent potential loss of data. The back-up process results in the copying of data onto storage media that may be retained for periods of time and in locations unknown to the originator or recipient of electronic mail. The practice and frequency of back-ups and the retention of back-up copies of email vary from system to system. Electronic mail users may request information on the back-up practices followed by the NTPS electronic mail services.

12) Violations of this Policy

Reporting Allegations of Violations

Persons who have reason to suspect a violation of this policy, or who have direct knowledge of behavior in violation of this policy should report that allegation of violation to the President (Accountable Manager).

Disciplinary Procedures

The President (Accountable Manager) shall refer allegations of violations of this policy to the appropriate person(s) for disciplinary action. If a student, the policy violation will be handled in accordance with Policy 6.1.3 *Violations of Student Code of Conduct – the Disciplinary Review Board*. If an employee, the policy violation

4.1.1 Information Technology Code of Ethics

will be referred to the immediate supervisor. If there is a policy violation, which the President (Accountable Manager) believes rises to the level of a serious violation of this or any other policy; the President (Accountable Manager) is authorized to temporarily revoke access privileges. In those cases, the revocation of access must be referred to the appropriate disciplinary authority for review and final determination of access privileges. In such cases the authority of the President (Accountable Manager) carries with it the authorization to make subjective judgments, such as whether material or statements violate NTPS policy.

Sanctions

Persons violating this policy are subject to revocation or suspension of access privileges to NTPS IT resources. Additionally, other penalties, as outlined in Policy 6.1.2 *Violations of Student Code of Conduct – the Disciplinary Review Board*, may be imposed upon student users. Sanctions for violation of this policy by employees may extend to termination of employment. Violations of law may be referred for criminal or civil action.

Appeals

Sanctions imposed upon students at NTPS and imposed at the discretion of the President (Accountable Manager) may be appealed in accordance with Policy 6.1.3 *Academic Appeals Procedures*.

13) Enforcement of this Policy (Employees)

Procedures and Sanctions

It is reiterated that users' access to NTPS's computing resources is not a right, but a privilege, and is not completely private. While the School does not routinely monitor individual usage of its computing resources, the normal operation and maintenance of the School's computing resources require the backup and caching of data and communications, the logging of activity, the monitoring of general usage patterns, and other such activities that are necessary for maintaining network availability and performance.

The School may also specifically monitor the activity and accounts of individual users of NTPS computing resources, including individual login sessions and communications, without notice. The monitoring may occur, but is not limited to, the following instances:

- a) The user has voluntarily made them accessible to the public;

4.1.1 Information Technology Code of Ethics

- b) It reasonably appears necessary to do so to protect the integrity, security, or functionality of the School or to protect NTPS from liability;
- c) There is reasonable cause to believe that the user has violated, or is violating, this protocol;
- d) An account appears to be engaged in unusual or unusually excessive activity, as indicated by the monitoring of general activity and usage patterns; or
- e) Upon receipt of a legally served directive of appropriate law enforcement agencies.

Any such monitoring, other than by voluntary disclosure, which is required by law, or necessary to respond to bona fide emergency situations, must be authorized in advance by the President (Accountable Manager). In all such cases, the appropriate department or division supervisor will be informed as time and the situation will allow. In all cases, all individuals' privileges and right of privacy are to be preserved to the greatest extent possible.

All users and units have the responsibility to report any discovered unauthorized access attempts or other improper usage of NTPS computers, networks, or other information processing equipment. If you observe, or have reported to you (other than by a law enforcement agency), a security or abuse problem with any NTPS computer or network facilities, including violations of this policy:

- a) Take immediate steps as necessary to ensure the safety and well-being of information resources. For example, if warranted, your supervisor should be advised so as to have the Systems Administrator temporarily disable any offending or apparently compromised computer accounts, or to temporarily disconnect or block offending computers from the network.
- b) Ensure that the following people are notified:
 - i. your immediate supervisor (unless that person is the suspected violator),
 - ii. the President (Accountable Manager)
 - iii. the IT manager.

Investigation of suspected computer resources abuses involving faculty and staff personnel, other than those initiated by external law enforcement agencies, will be coordinated by the President (Accountable Manager). The Systems Administrator will cause all involved systems resources to be examined for violations outlined in this policy. Activities that appear to be criminal in nature, such as fraud, theft, or child pornography, will be referred to the appropriate law authorities. In examining computer systems or files which may include student academic records the systems administrator conducting reviews of alleged violations will be guided in their duties

4.1.1 Information Technology Code of Ethics

by all provisions of privacy and confidentiality as afforded by the Health Insurance Portability and Accountability Act (HIPAA), and the Family Educational Rights and Privacy Act (FERPA). Files, which are identifiable, by student names will not be opened or examined, and identities of students will not be disclosed in written reports of infractions or in discussions about the investigation.

Corrective Procedures

The NTPS procedure for correction of computer resources abuses is a graduated approach to handle violations of this protocol. The approach is based on two premises:

- a) The vast majority of users are responsible, and
- b) Most offenders, given the opportunity to stop uncivil or disruptive behavior, without having to admit guilt, will do so and will not repeat the offense.

This policy distinguishes between incidents that pose no immediate dangers to persons or to system integrity, and incidents that do. The process described below is designed for cases in which there are no immediate dangers.

First Warning

The President (Accountable Manager) will send a warning letter to the alleged perpetrator(s) of improper use of NTPS computing resources, harassment, or other uncivil behavior. The letter will have this form:

“Someone using your account [*state the nature of the offense and an explanation as to why this behavior violates NTPS policy*]. Account holders are responsible for the use of their accounts. If you are unaware that your account was being used in this way, it may have been compromised. Your system administrator can help you change your password and re-secure your account. If you are aware, then please make sure that this does not happen again.”

This warning ensures that the alleged perpetrators are aware that a policy violation may have occurred and that there was a complaint. It offers them a chance to desist, and/or an opportunity to secure their account against unauthorized use.

This warning is optional, based upon the severity and breadth of the violation(s); however, gross violations may be referred directly to a disciplinary review.

4.1.1 Information Technology Code of Ethics

Final Warning/Disciplinary Procedures

If the previous warning stage does not convince the perpetrators to desist, the matter will be dealt with in accordance with the relevant disciplinary policy for disciplinary action. The President (Accountable Manager) will make available all information or evidence held on the case to the supervisory authority. If it appears from the evidence that any federal or state laws may have been violated, the President (Accountable Manager) may suspend the account pending the outcome of the School's or law enforcement authorities' investigation.

Temporary Suspension of Individual Privileges

In the event there are reported unauthorized access attempts or other improper usage of NTPS computers, networks, or other information processing equipment which may impose dangers to persons or systems integrity, the Systems Administrator will be authorized to take immediate steps as necessary to ensure the safety and well-being of information resources. For example, offending or apparently compromised computer accounts may be temporarily disabled, disconnected, or blocked from the network.

14) Acknowledgment

All current school employees and students will be required to review and sign a NTPS Information Technology Code of Ethics acknowledgment. This document will be retained as part of the student or employee file. All new employees will be provided the Code of Ethics document during New Employee Orientation.

15) Laptops, Personally Owned Desktop or Computers Provided by External Funding

All computers connecting to the NTPS network, regardless of their location or source of funding, are subject to the terms of this protocol and the NTPS Code of Ethics for Computer Usage.

References

California State Penal Code, Section 52,
Electronic Communications privacy act of 1986,
Computer Abuse Amendment Action of 1994
Telecommunications Act of 1996
Digital Millennium Copyright Act of 1998

4.1.1 Information Technology Code of Ethics
Cross References
Policy 3.1.1 <i>Employee Code of Conduct</i>
Policy 6.1.2 <i>Violations of Student Code of Conduct – the Disciplinary Review Board</i>

4.1.2 Help Desk Policy

Purpose

This policy sets out the provision of help desk assistance to members of the School community.

Applicability

All staff, faculty and students of NTPS

Policy

NTPS provides various computer related assistance to staff, faculty and students through the help desk facility. Requests for assistance should be directed to the IT Help Desk. The Systems Administrator is responsible for ensuring that any requests for assistance are responded to in a timely manner. Specific requests that are processed by Help Desk include the following:

- assistance using electronic mail;
- assistance with the School terminal server and the Internet;
- trouble-shooting hardware and software problems;
- DOS/Windows, and other systems;
- information concerning retrieving lost files;
- assistance in installing hardware and software on personal computers, workstations, and networks;
- consultation for those making computer-related purchases; and
- assistance with supported software.

References

Cross References

4.1.3 Passwords
<p>Purpose</p> <p>The purpose of this policy is to establish a standard for the creation of strong passwords, the protection of those passwords, and the frequency of change.</p>
<p>Applicability</p> <p>All staff, faculty and students of NTPS</p>
<p>Policy</p> <p>1. General</p> <p>Passwords are an important aspect of computer security. They are the front line of protection for user accounts. A poorly chosen password may result in a compromise of NTPS's entire network. As such, all NTPS employees (including contractors and vendors with access to NTPS systems) are responsible for taking the appropriate steps, as outlined below, to select and secure their password.</p> <p>All systems-level passwords (e.g., root, system administrator, application administration accounts, etc.) must be changed at least every 180 days.</p> <p>All production system-level passwords must be part of the Information Security administrated global password management database.</p> <p>All user-level passwords (e.g., email, web, desktop computer, etc.) must be changed at least every 180 days and cannot be reused the past six (6) passwords.</p> <p>User accounts with access to NTPS systems must have a unique password from all other accounts held by that user.</p> <p>Passwords must not be inserted into email messages or other forms of electronic communication.</p> <p>All user-level, system-level, and NTPS access level passwords must conform to the guidelines described below.</p> <p>2. Password Construction Requirements</p> <ol style="list-style-type: none"> a) Be a minimum length of ten (10) characters on all systems; b) Contain characters from at least three (3) of the following four (4) character categories: uppercase, lowercase, number, symbol; c) Not be a single dictionary word or proper name; d) Not be the same as the user id; e) Expire within a maximum of 180 calendar days; f) Not be identical to the previous six (6) passwords; g) Not be transmitted in the clear or plaintext outside the secure location; h) Not be displayed when entered. <p>3. Password Deletion</p>

4.1.3 Passwords

All passwords that are no longer needed must be deleted or disabled immediately. This includes, but is not limited to, the following:

When a user retires, quits, is reassigned, released, dismissed, etc., default passwords shall be changed immediately on all equipment, contractor accounts, when no longer needed to perform their duties;

4. Password Protection Standards

Do not share NTPS passwords with anyone, including administrative assistants or secretaries. All passwords are to be treated as sensitive, Confidential NTPS information.

Here is a list of “don’ts”:

- Don’t reveal a password over the phone to anyone;
- Don’t reveal a password in an email message;
- Don’t reveal a password to the boss;
- Don’t talk about a password in front of others;
- Don’t hint at the format of a password (e.g., “my family name”);
- Don’t reveal a password on questionnaires or security forms;
- Don’t share a password with family members;
- Don’t reveal a password to a co-worker while on vacation;
- Don’t use the "remember password" feature of applications;
- Don’t write passwords down and store them anywhere in your office;
- Don’t store passwords in a file on any computer system unencrypted.

If someone demands a password, refer them to this document or have them call the NTPS System Administrator.

If an account or password is suspected to have been compromised, report the incident to the NTPS System Administrator and change all passwords.

5. Remote Access Users

Access to the NTPS networks via remote access is to be controlled by using either a Virtual Private Network (in which a password and user id are required) or a form of advanced authentication (i.e., Biometrics, Tokens, Public Key Infrastructure (PKI), Certificates, etc.).

6. Penalties

Any employee found to have violated this policy may be subject to disciplinary action, up to and including termination of employment.

References

4.1.3 Passwords
Cross References

4.1.4 Data Integrity

Purpose

This policy sets out the requirements for the integrity of all data on the NTPS network and other locations that NTPS uses to store data.

Applicability

All staff, faculty and students of NTPS

Policy

All data on the NTPS network and other locations that NTPS uses to store data will comply with the following requirements:

- data will be backed up daily;
- a copy of all backups will be stored in electronic format in a different physical location from where the NTPS backup is saved;
- all backed up data will only be accessible by means of a password and only the IT manager, CEO, President (Accountable Manager), Chief Operations Officer and Chief of Technical Support will have a copy of the password;
- all data must be kept for a minimum period of 5 years;
- all electronic copies of transcripts must be kept indefinitely;
- all backups and copies of backups must be accessible within 24 hours.

References

Cross References

5 Academics

5.1 General Academics

5.1.1 Academic Freedom
<p>Purpose</p> <p>This policy sets out the guiding principles regarding academic freedom followed by the National Test Pilot School.</p>
<p>Applicability</p> <p>All faculty</p>
<p>Policy</p> <p>The National Test Pilot School supports the openness of the tradition to free inquiry and respect for the right of each person to her or his convictions. Academic freedom is the right of every faculty member to be responsibly engaged in scholastic efforts to seek, discover, speak, teach and publish.</p> <p>NTPS actively promotes a policy of academic freedom. While instructors need to meet the requirements of the published curriculum, they are encouraged to present a variety of perspectives on their subjects, particularly from the vantage point of their individual experience, education, and reflection, whatever that may be, insofar as they believe it to promote understanding of the subject.</p> <p>To encourage wide ranging viewpoints, it is NTPS general policy to assign instructors to teach a range of subtopics within their general area of expertise on a rotational basis so that a varied approach to any given subject area is assured.</p> <p>At the same time, NTPS advocates that its faculty members to exercise these freedoms in a professional and responsible fashion. As scholars and teachers, they should remember that others may judge their profession and their institution by their utterances. Hence they should at all times be accurate, exercise appropriate restraint, show respect for the opinions of others, and make every effort to indicate that they are not speaking for the school unless so authorized.</p> <p>Any faculty member, regardless of rank or contract status, who believes his or her academic freedom has been violated, may petition the President (Accountable Manager), the CEO, or the Board of Trustees for a hearing. Following the hearing, the Board of Trustees will report its findings to the CEO and to the faculty member who initiated the petition.</p>

5.1.1 Academic Freedom
Students are encouraged to question, challenge, and respond. Faculty and students are free to examine all pertinent data, question ideas and concepts, and to be guided by evidence.
References
Cross References
Faculty Handbook.

5.1.2 Industry Advisory Committee

Purpose

The purpose of the Industry Advisory Committee is to provide input to NTPS about the validity of Program Educational Objectives and to make recommendations for the addition or improvement Program Educational Objectives. This policy documents the rules governing the appointment and functioning of the Industry Advisory Committee.

Applicability

Industry Advisory Committee & CAO & HT

Policy

Appointment of the Industry Advisory Committee

The Industry Advisory Committee shall be appointed by the NTPS CEO based on recommendations from the President (Accountable Manager) and/or the Board of Trustees. Candidates for the Industry Advisory Committee should be selected based on the following criteria:

Members should normally be:

- a) limited to test pilots and flight test engineers (FTE's);
- b) working in organizations that hire/employ test pilots and FTE's;
- c) in a position in their organization to supervise test pilots and FTE's;
- d) in a position to influence hiring decisions for test pilots and FTE's;
- e) able to attend IAC meetings at NTPS in person or by telecom.

Functioning of the Industry Advisory Committee

The Industry Advisory Committee should meet at least once a year. The Industry Advisory Committee meetings will be called by the CAO. Topics to be discussed should typically include:

- a) validity of Educational Objectives;
- b) curriculum;
- c) quality of Graduates;
- d) future industry needs.

References

5.1.2 Industry Advisory Committee

Cross References

Policy 5.2.1 *Educational Objectives & Program Outcomes Development and Assessment Process*

5.1.3 Faculty Council
<p>Purpose</p> <p>The purpose of the Faculty Council is to provide a platform for decision making regarding academic matters. This policy documents the rules governing the appointment and functioning of the Faculty Council.</p>
<p>Applicability</p> <p>Faculty Council</p>
<p>Policy</p> <p><i>Appointment of the Faculty Council</i></p> <p>The Faculty Council shall be comprised of the Chief Academic Officer, Head of Training, Chief Theoretical Knowledge Instructor, Chief Flying Instructor, Chiefs of Academics (RW P&FQ, FW P&FQ and Systems), Chief Test Pilots (FW & RW) and Compliance Monitoring Manager.</p> <p>The Faculty Council is chaired by the Chief Academic Officer.</p> <p><i>Functioning of the Faculty Council</i></p> <p>The Faculty Council shall meet at least once a quarter. The Faculty Council meetings will be called by the Chief Academic Officer. Topics to be discussed should include but not limited to:</p> <ul style="list-style-type: none"> a) feedback from Course Coordinators; b) review of Academic Outcomes; c) approve applicants for enrollment; d) recommend students for graduation.
<p>References</p>
<p>Cross References</p> <p>Policy 5.2.1 <i>Educational Objectives & Program Outcomes Development and Assessment Process</i></p>

5.1.4 Role of Faculty and Administration
<p>Purpose</p> <p>This policy is designed to distinguish the roles of faculty and management.</p>
<p>Applicability</p> <p>All faculty and staff</p>
<p>Policy</p> <p>The administration of the National Test Pilot School makes every effort to ensure all faculty and staff have a voice in administrative matters. Authority for the administration of the School is vested in the Board of Trustees and in its selected administrative officer, the CEO. The CEO delegates most of the day to operation of the school to the President (accountable Manager).</p> <p>The faculty, however, is given the responsibility of making the decisions that involve the teaching program of the School within the confines of the accredited curriculum. All faculty members are given the freedom to suggest changes to the various academic programs to the Faculty Counsel for evaluation and recommendation to the President. The President will act on or forward the recommendations to the CEO as is appropriate.</p> <p>On matters beyond the authority of the faculty, the faculty may make recommendations to President, CEO and/or the Board of Trustees. The administration recognizes that the most important function of the School is that of teaching. It is the aim of the administration to maintain an atmosphere that is conducive to good teaching.</p>
<p>References</p>
<p>Cross References</p>

5.1.5 Faculty Code of Conduct
<p data-bbox="217 254 326 289">Purpose</p> <p data-bbox="217 323 1386 485">As members of the School community faculty members are expected to uphold the Schools stated values and beliefs by maintaining a high standard of conduct. This policy documents the principles of ethical conduct expected from faculty members and details specific violations to the expected code.</p>
<p data-bbox="217 539 391 575">Applicability</p> <p data-bbox="217 606 358 642">All faculty</p>
<p data-bbox="217 695 305 730">Policy</p> <p data-bbox="217 762 500 798"><i>Professional Conduct</i></p> <p data-bbox="217 831 1386 951">Faculty members are expected to conduct themselves in a manner that will not embarrass or discredit the good reputation of the NTPS. Faculty members are expected to give loyal and efficient service and to cooperate in properly and professionally doing the work assigned.</p> <p data-bbox="217 984 1386 1146">Faculty represent the National Test Pilot School, therefore the community’s impression of an individual will often be their impression of the entire organization. In faculty relations with others, whether they are co-workers, vendors, or students, faculty are asked to be courteous, tactful and fair.</p> <p data-bbox="217 1180 716 1215"><i>General Principles of Ethical Conduct</i></p> <p data-bbox="217 1249 488 1285">All faculty of NTPS:</p> <ol data-bbox="266 1318 1386 1816" style="list-style-type: none"> 1) shall put forth honest effort in the performance of their duties; 2) shall make no unauthorized commitments or promises of any kind purporting to bind the Board or any Board-governed entity; 3) shall not use their public offices for private gain; 4) shall act impartially and not give preferential treatment to any private or public organization or individual; 5) shall protect and conserve school property and shall not use it for other than authorized activities; 6) shall not engage in outside employment or activities, including seeking or negotiating for employment, that conflict with official duties and responsibilities; 7) shall promptly disclose to the President (Accountable Manager) information on waste, fraud, abuse, or corruption in accordance with applicable law and policy;

5.1.5 Faculty Code of Conduct

- 8) shall not hold financial interests that are in conflict with the conscientious performance of their official duties and responsibilities;
- 9) shall not engage in any financial transaction in order to further any private interest using nonpublic information of the Board or School;
- 10) shall endeavor to avoid any actions that would create the appearance that they are violating the law or the ethical standards of the Board or the relevant Board-governed entity; and
- 11) shall disclose potential conflicts of interest to the CEO, or designee, of the institution, agency or school, and avoid Conflicts of Interest, potential Conflicts of Interest, and circumstances giving rise to the appearance of a Conflict of Interest.

Violations of Standards of Conduct

Offenses which will result in immediate termination actions include but are not limited to, those violations in Group A of the National Test Pilot School's standards of conduct.

Offenses that will result in progressive discipline, beginning with a written warning, includes, but are not limited to, those violations in Group B of the school's standards of conduct.

Group A Violations

- a) offenses which will result in immediate discharge actions include, but are not limited to:
 - b) proven theft;
 - c) proven dishonesty;
 - d) refusal to obey reasonable requests of the President (Accountable Manager) and/or the CEO;
 - e) fighting on NTPS property;
 - f) carelessness or misconduct resulting in injury to NTPS personnel, students, guests, vendors or visitors;
 - g) intoxication, possession, use of, or sale of illegal drugs on NTPS premises or on/in NTPS-owned or -leased vehicles;
 - h) giving out confidential information to any unauthorized person, including, but not limited to, aircraft documentation, business plans, medical information or records; personal, or employee records or information; student information; business or financial records, information or correspondence;
 - i) falsification of personnel or other records, falsification of testimony or any violation of the oath as a witness or party in any action, proceeding or hearing brought against the NTPS, either directly or indirectly (internal or external);

5.1.5 Faculty Code of Conduct

- j) possession of weapons on NTPS premises, or on/in Company-owned or leased vehicles;
- k) allowing anyone other than authorized persons to be in/on any NTPS-owned or -leased vehicle;
- l) engaging in deliberate sabotage or acts of malicious mischief;
- m) smoking in a hazardous area posted “No Smoking”;
- n) willful or gross mistreatment of personnel, students, guests, vendors or visitors;
- o) involvement in two “at fault” accidents;
- p) physical violence, threats, abusive or vulgar language, intimidation or coercion directed to any personnel, students, guests, vendors or visitors of the NTPS;
- q) sexual or other unlawful harassment and;
- r) any violation following the issuance of three written warnings.

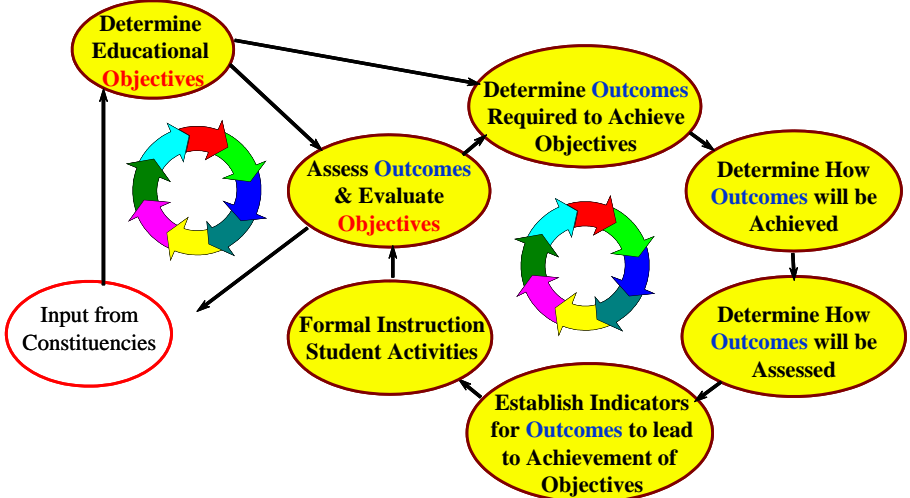
Group B Violations

- a) offenses for which a written warning will be issued include, but are not limited to:
- b) failure to follow time keeping rules;
- c) absence during the academic year without authorization;
- d) gambling on NTPS premises;
- e) causing or creating any unsafe condition which could cause injury to anyone;
- f) disregard of safety rules or common safety practices;
- g) engaging in any personal work on NTPS premises without prior proper authorization;
- h) more than incidental use of NTPS equipment (telephone, facsimile, email, PC’s) for personal purposes other than NTPS business;
- i) creating or contributing to unsanitary conditions;
- j) failure to follow attendance policy;
- k) failure to keep Administrative Services informed of your current address and telephone number;
- l) failure to comply with security procedures, rules, reasonable orders, or requests of security personnel;
- m) violation of the NTPS no-solicitation policy; and
- n) continued unsatisfactory job performance.

Faculty to whom written warnings are issued, are required to sign the written warning to attest only to the fact that they have received a copy of the written warning. Any violation following issuance of three written warnings may result in immediate discharge actions.

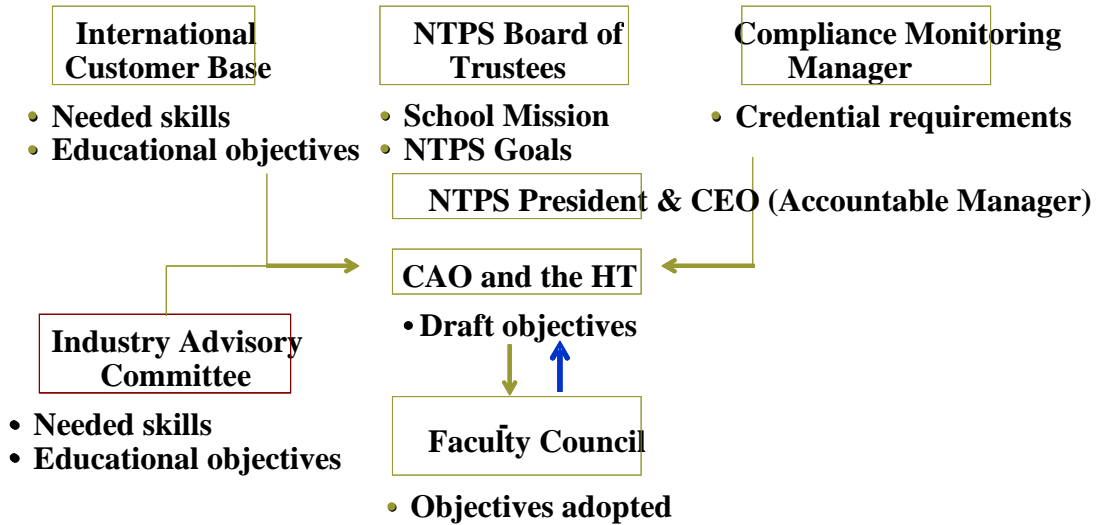
5.1.5 Faculty Code of Conduct
References
Cross References
Policy 3.1.1 <i>Employee Code of Conduct</i>

5.2 Educational Purposes

5.2.1 Educational Objectives & Academic Outcome Development and Assessment Process
<p>Purpose</p> <p>In order to assure that graduates of the National Test Pilot School (NTPS) are adequately prepared to enter the practice of flight test, it is important to establish educational objectives consistent with the NTPS mission and which meet the needs of the school’s constituencies, as well as the requirements of NTPS’ certifying and accreditation agencies. These objectives then become the basis for the school’s program outcomes and curriculum.</p>
<p>Applicability</p> <p>All staff and students</p>
<p>Policy</p> <p>The following process shall be used to define program outcomes and educational objectives:</p> <p>Define educational objectives consistent with institutional mission which meet the needs of constituencies.</p> <p>Define outcomes and develop curricula which lead to achievement of objectives.</p> <p>Assess outcomes, evaluate objectives, and demonstrate continuous improvement.</p> <p>The details of the outcomes and objectives process are shown here.</p> 

5.2.1 Educational Objectives & Academic Outcome Development and Assessment Process

Education objectives and academic outcomes are developed using the following process (reference the diagram below)

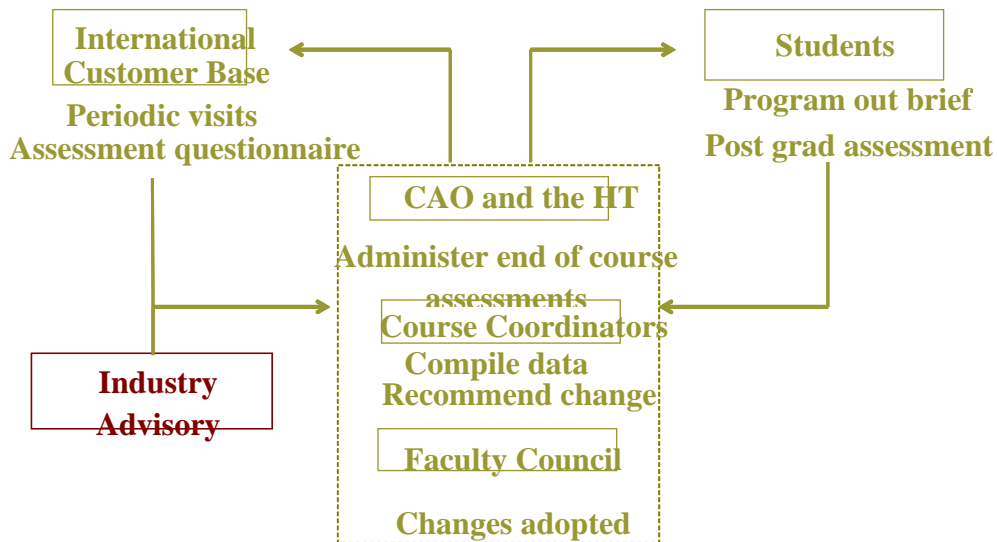


1. The NTPS international customer base provides an input to the NTPS President (Accountable Manager) and/or the CEO of needed skills for flight test professionals (Test Pilots and Flight Test Engineers). If able, these customers also suggest educational objectives that they believe important.
2. In addition to the customer base, an Industry Advisory Committee comprised of representatives from both industry and government organizations who typically hire NTPS graduates provide similar inputs.
3. The CAO drafts the NTPS educational objectives based on the above inputs and within the goals of the institution as directed by the NTPS Board of Directors and within the credential requirements of the National Flight Test Institute (the degree granting arm of the NTPS). Once drafted the objectives are presented to the Faculty Council for review and acceptance.
4. After the Faculty Council has adopted the educational objectives, they define the academic outcomes for each module required to achieve these objectives.

5.2.1 Educational Objectives & Academic Outcome Development and Assessment Process

Policy 5.2.1 *Educational Purposes* documents the current objectives and outcomes.

Educational objectives and academic outcomes are periodically reviewed by the Faculty Council and the Industry Advisory Committee based on changing customer needs and both student and constituency feedback surveys.



The CAO compiles the results of the surveys and presents recommended changes to the Faculty Council for review (reference the diagram below.)

The key to the assessment process is relevant feedback. Five feedback methods are used:

End of course feedback – after each module, the Course Coordinator administers a questionnaire that measures the attainment of the academic outcomes for that specific module and compiles a report that makes recommendations for continuous improvement.

End of program feedback (professional long course) – as part of each student’s out processing, they are asked to provide individual verbal feedback to NTPS Management. This feedback concentrates on outcomes and objectives as well as any other topic the student deems appropriate. Each student completes an end of course survey which specifically addresses educational objectives.

Post-graduation student feedback – after the student has been graduated for a few years they are asked to complete a follow-on survey which addresses the same areas as the end of course

5.2.1 Educational Objectives & Academic Outcome Development and Assessment Process
<p>survey. The goal of this follow-up is to ensure educational objectives are achieved after the student has become a practicing test pilot/test engineer.</p> <p>Sponsor feedback – at least every 3 years the organizations who sponsor the majority of our students are asked to comment on our current educational objectives.</p> <p>Industry Advisory Committee - feedback meets to review the school’s educational objectives and curriculum and to recommend improvements based upon current industry needs.</p> <p>All suggested changes resulting from this assessment process are brought before the Faculty Council for their review and recommended actions.</p>
References
Cross References <i>Policy 5.2.1 Educational Purposes & Program Outcomes Development and Assessment Process</i>

5.2.2 Educational purposes

Purpose

In order to insure relevant, quality education for our students the NTPS is committed to a process of continuous improvement with inputs from constituencies and feedback from students. Towards this end, the NTPS has adopted an outcomes approach whereby the school's educational objectives are consistent with institutional mission which meets the needs of our constituencies.

Applicability

All students

Policy

Our primary objective at NTPS is to educate and train to the highest-level Test Pilots and Flight Test Engineers. Upon successful completion of the program they, will be capable of participating immediately in either a military or civilian developmental, certification or acceptance flight test program. NTPS is committed to the fundamental values of honesty, integrity, respect for others, and the pursuit of truth and excellence.

To address the high level of technical and academic requirements of this unique field of applied aeronautics, NTPS has defined academic and professional goals in the area of Flight Test Engineering at the graduate level. These include:

- the development of insight in, and understanding of, the fundamental ideas and methods of applied mathematics, physical science and engineering;
- the scientific application of this knowledge to solution of real-world problems;
- the advancement of aeronautical science;
- the development of skills in effective management, reporting and communication;
- an enhanced awareness of the scope and responsibility of the Flight Test Professional's role in aircraft development and design, and his or her ultimate contribution to the airworthiness and mission capability of the air vehicle under development and test.

Educational Objectives

In order to achieve these goals, the NTPS has established the following educational objectives in concert with our constituencies. Graduates will:

- have the technical ability as well as the management and communications skills required to perform the tasks of a test pilot/flight test engineer;

5.2.2 Educational purposes

- be aware of the roles and responsibilities of a test pilot/flight test engineer in the aircraft/system design and development process;
- be prepared to validate the airworthiness and mission capability of an air vehicle and/or system;
- be capable of managing a flight test project;
- advance the flight test and evaluation discipline through reports, professional papers, journal articles, and/or symposia presentations.

In order to insure these objectives, remain relevant and are being met the NTPS conducts annual customer reviews wherein we reaffirm customer training needs, objectives and satisfaction. Students are also queried via end of program assessments (both written and verbal) and student follow-up surveys at graduation + one year.

Student Outcomes

Owing to the change in requirements from ABET, the previously developed ‘program outcomes’ were replaced by the ABET ‘student outcomes’. Since Master of Science in Flight Test Engineering candidates are graduates of ABET accredited institutions (or equivalent), NTPS assumes they have attained the appropriate undergraduate program outcomes. Thus the NTPS graduate student outcomes expand upon the undergraduate outcomes:

- a) an ability to apply knowledge of mathematics, science, and engineering;
- b) an ability to design and conduct experiments, as well as to analyze and interpret data;
- c) an ability to design a system, component, or process to meet desired needs with realistic constraints such as economic, environmental, social, political, ethical, health and safety, manufacturability, and sustainability;
- d) an ability to function on multi-disciplinary teams;
- e) an ability to identify, formulate and solve engineering problems;
- f) an understanding of professional and ethical responsibility;
- g) an ability to communicate effectively;
- h) the broad education necessary to understand the impact of engineering solutions in a global, economic, environmental, and societal context;
- i) a recognition of the need for and an ability to engage in life-long learning;
- j) a knowledge of contemporary issues;
- k) an ability to use the techniques, skills, and modern engineering tools necessary for engineering practice.

Learning Outcomes

5.2.2 Educational purposes

Program outcomes are further dissected into course learning outcomes (see attached). These outcomes are achieved via the NTPS educational philosophy instructional approach, highly qualified faculty, and specialized facilities.

The school's educational philosophy stresses:

- technical knowledge and application skills;
- multi-discipline approach;
- predict, fly, verify, and validate process;
- management principles and skills;
- team participation;
- independent thinking.

The NTPS instructional approach is to develop understanding using lectures, tutorials and prediction exercises. Understanding is reinforcing by applications and demonstrations which include flight demonstrations, ground laboratories and simulations. Finally understand is assured through correlation. Practical flight test problems are assigned whereby the student must verify theoretical predictions and validate system performance. Further, each student is assigned a capstone final project which requires them to plan execute and report on an unknown aircraft or original flight test problem. The students will defend their results before peers, staff and industry.

The NTPS faculty is highly experienced having graduated from formal flight test training programs and participated in multiple flight test programs. Learning outcomes are further enhance by a very low faculty to student ratio.

Finally, the facilities and resources at the school are specific to supporting the student outcomes. They include:

- specialized laboratories:
 - EO/IR;
 - NVG;
 - GVT;
 - Weight and Balance;
- simulators;
- telemetry control room;
- audio-visual lab;
- weapons range;
- fleet of unique, dedicated, instrumented aircraft;

<p>5.2.2 Educational purposes</p>
<ul style="list-style-type: none"> • technical library. <p><i>Process Evaluation</i></p> <p>In order to insure the student outcomes are being met a process of evaluation and student feedback is implemented. The evaluation process used for each course is as follows:</p> <ul style="list-style-type: none"> • theory and predictions – graded written and/or oral exams • demonstration – graded lab and flight exercises • team reports – graded written and/or oral reports • jury of staff <p>At the end of each phase (semester) a final project is assigned and graded. The students must prepare and defend a test plan and final report.</p> <p>At the end of the course of study each student is assigned an individual final project which is graded in as follows:</p> <ul style="list-style-type: none"> • Graded written test plan • Graded oral technical and safety review • Graded written report • Graded oral report <p>At the end of each course student questionnaires are completed which address the desired learning outcomes (see attached). All questionnaires are put into a master data base and trend data are reviewed at each semi-annual faculty forum. Need for improvements are discussed by the faculty and recommendations are submitted to the NTPS President (Accountable Manager) for approval and implementation or forwarding to the CEO.</p>
<p>References</p>
<p>Cross References</p>

5.2.3 Certificates and Degrees Awarded
<p data-bbox="219 256 324 289">Purpose</p> <p data-bbox="219 323 1258 357">This policy sets out the requirements for the awarding of degrees and certificates.</p>
<p data-bbox="219 415 389 449">Applicability</p> <p data-bbox="219 478 527 512">All faculty and students</p>
<p data-bbox="219 571 300 604">Policy</p> <p data-bbox="219 638 365 672"><i>Definitions</i></p> <p data-bbox="219 705 1393 907">Programs of instruction require specified numbers of credits earned through educational work on the part of students. Completion of the program of instruction results in the awarding of a certificate to or conferring of a degree upon the student based on a recommendation by the Faculty Council, CAO, and/or HT to the President (Accountable Manager) and/or the CEO. The following definitions have been approved by the Board:</p> <p data-bbox="316 940 462 974"><i>Certificates</i></p> <p data-bbox="316 1008 1393 1083">A credential awarded for completion of a coherent program of study representing a coherent body of knowledge that does not in itself lead to a degree.</p> <p data-bbox="316 1117 527 1150"><i>Master's Degree</i></p> <p data-bbox="316 1184 1393 1260">A credential awarded for completion of the degree requirements as outlined in the school catalog.</p> <p data-bbox="219 1293 722 1327"><i>Requirements for Certificate or Degree</i></p> <p data-bbox="219 1360 1393 1478">The school will establish the number of earned credits required for each certificate or degree. The student catalogs will specify the required number of earned credits for each certificate or degree.</p> <p data-bbox="219 1512 527 1545"><i>Authorization Required</i></p> <p data-bbox="219 1579 1393 1789">Programs offered by the School, as well as the certificates and degrees to which they lead, are subject to review and approval in accordance with the program approval policies provided in Policy 5.2.1 <i>Educational Objectives & Program Outcomes Development and Assessment Process</i>. A certificate or degree conferred upon the student is conferred under the authority of the Board.</p>

5.2.3 Certificates and Degrees Awarded

Authorized Certificates and Degrees

A current listing of authorized certificates and degrees awarded by the School is maintained at the institution by the CEO, President (Accountable Manager), CAO, HT, and Registrar.

References

Cross References

Policy 5.2.1 *Educational Objectives & Program Outcomes Development and Assessment Process*

5.2.4 Catalog
<p>Purpose</p> <p>This policy sets out the requirements for the catalog.</p>
<p>Applicability</p> <p>All faculty and students</p>
<p>Policy</p> <p><i>Definitions</i></p> <p>The catalog is a document required by ABET and BPPE and is considered to be the ‘contract’ between NTPS and the student.</p> <p><i>Requirements for the Catalog</i></p> <p>The catalog shall comply with the requirements of ABET and BPPE.</p> <p>The catalog shall contain a complete list of all programs and modules offered by NTPS.</p> <p>The catalog shall list the academic outcomes for all modules presented at NTPS.</p> <p><i>Responsibilities</i></p> <p>The Chief Academic Officer shall ensure that the catalog is kept up-to-date.</p> <p><i>Updates</i></p> <p>The catalog shall be updated as required, but at least once per year before the beginning of the new calendar year.</p> <p><i>Publishing</i></p> <p>The current catalog shall be published on the NTPS website.</p> <p><i>Distribution</i></p> <p>All current and prospective students must be provided with a catalog when making enquiries about any courses at NTPS, in accordance with BPPE policy.</p> <p>The electronic link to catalog (NTPS website) will be emailed to prospective students when an online application form is submitted.</p>

5.2.4 Catalog
References BPPE § 71810 (a), § 94909(a)
Cross References

5.4 Curriculum Development & Management

5.4.1 Curriculum Development
<p>Purpose</p> <p>This policy is designed to document the requirements for developments of new or expanded academic programs.</p>
<p>Applicability</p> <p>All faculty</p>
<p>Policy</p> <p>The National Test Pilot School maintains an official list of approved courses which shall be the basis for the course listing in the catalog.</p> <p><i>Curriculum Changes</i></p> <p>Any proposed change involving the addition, deletion or re-naming of degree programs or degrees must be approved by the CEO and the Board of Trustees. In addition, any changes involving the Master’s Programs must also be approved by the CAO. Proposals must be presented in accordance with the requirements in the Proposals section below.</p> <p>All changes in curricular requirements, as stated in the School catalog, must be approved by the President (Accountable Manager) and the CEO. Appropriate input and review should be obtained from the relevant Chief of Academics, CAO, HT, and Compliance Monitoring Manager. All changes (with the exception of editorial changes as defined below) in course title, assignment of credit hours and/or description of course content for courses specifically listed in the catalog as required for a degree program must be approved in the same manner.</p> <p>All changes (with the exception of editorial changes as defined below) in course title, foundation course designator, if any, assignment of credit hours and/or description, including the addition or deletion of a course, for courses other than those listed as required for a degree program must be approved by the President and the CEO. It is the responsibility of the branch which proposes these changes to seek concurrence of the relevant branch chief which might be impacted by the proposed change. Editorial changes that do not substantively change the content or description of a course may be made by the branch offering the course with the approval of the branch chief.</p> <p>After final approval, all changes will be communicated to the Chiefs of Academics and Administrative Services for inclusion in the Register of Courses.</p>

5.4.1 Curriculum Development

Proposals

Each proposed or expanded program requires a detailed analysis and evaluation submission to be prepared. A new or expanded program is one that will result in NTPS offering a new degree, certificate, or field of specialization within a program. The analysis and evaluation must include supporting information, including but not limited to the following:

- 1) The need for the program should be clearly documented by requests, studies, employment opportunities, and other relevant data.
- 2) Feasibility studies should be done in most instances where new programs are requested. Desire and need do not necessarily mean that implementation is feasible.
- 3) Cost is a controlling factor in approval of a new program. The availability of funds for new programs constitutes a constraint in approving or disapproving program requests.
- 4) Potential student enrollment must be considered. A forecast of prospective enrollment is prerequisite to the approval of a new program. The existence of a program tends to attract students, so, a projection of enrollment is not expected to be exact but it should be within reasonable limits.
- 5) NTPS's capabilities should be clearly set out. Supporting programs in courses that are necessary to the successful operation of a specific program cover a wide range of prerequisite programs that must be taken into consideration in locating a program at NTPS.
- 6) The specific interests of the faculty, the administration, and others in establishing priorities for new programs at NTPS must be supported by pertinent data.
- 7) Priorities should be established. A number of new programs which seem feasible may be proposed at the same time. Fiscal constraints and other criteria may limit the implementation of the competing proposals, therefore an indication of the priority for the development of the proposed program may be required.
- 8) The capability of NTPS in the various areas of new program development must also be considered. Established capability typically outweighs the potential for developing future capabilities.
- 9) The interrelationships of programs are important. The ladder and lattice concepts should be developed wherever possible. School programs should be so structured that they can be interchangeable parts of four-year programs at other institutions.
- 10) The curricula should be developed so that they fit certification and licensure requirements. They should also be eligible for approval by national accrediting agencies.
- 11) Criteria for determining the feasibility of new or expanded programs include:

5.4.1 Curriculum Development
<ul style="list-style-type: none">a) demonstrated need based on documented requests, organized studies, enrollment predictions, personnel requirements, and/or accreditation standards;b) relationships of new or expanded programs to the overall and specific educational programs of NTPS as approved by the Trustees;c) current and future capabilities of NTPS to make available facilities, equipment, and personnel adequate to ensure a high quality program; andd) estimates of income and expenditures, both direct and indirect, for the program for a minimum of three years.
References
Cross References

5.4.2 Course Management
<p>Purpose</p> <p>This document sets out the responsibility of Chiefs of Academics in course management and maintaining course documentation. It also provides for a review of the objectives of the Chief of Academics to ensure success in attaining those objectives, and the appropriateness of the objectives in the context of the wider objectives of the Faculty of which it is a part.</p>
<p>Applicability</p> <p>All faculty</p>
<p>Policy</p> <p><i>General Course Management</i></p> <p>Each Chief of Academics is responsible in ensuring that accurate course syllabus and descriptions are in place and published.</p> <p>A course syllabus includes:</p> <ul style="list-style-type: none"> • Course prerequisites or restrictive statements. • Student learning outcomes for the course • All required Textbook(s) • Course organization and scope. List of topics and approximate time allocated to each major topic. List of laboratories, field trips, simulators. • Expected schedule of any projects, examinations and other assessment. • Explanation of how grades are determined and the relative value of the various evaluation components of the course, i.e., the portion of the grade that derives from quizzes, tests, final exam, projects, attendance, etc. • Policies on incomplete grades and late assignments, where different to standard School policies • Remedial academic training or tutoring is available on a limited basis or as needed to provided internal academic required achievement. • Policies on attendance, (excused and unexcused) absences, and scheduling makeup work, where different to standard School policy. <p><i>Review of Academic Courses</i></p>

5.4.2 Course Management

A periodic review of the course descriptions, objectives and methodology should be made to ensure that course objectives are appropriate and that course and teaching objectives are being adequately achieved.

A continuous rolling review of academic courses should normally be conducted annually in conjunction with the course evaluation outlined in Policy 5.4.4.

An extraordinary review may be recommended by the CAO or the HT and approved the President (Accountable Manager) at any time. In such a case, the CEO shall be informed of the reason for the review.

The Review Team: Selection and Roles

The CAO and the HT shall select the review panel after consultation with the President (Accountable Manager). The external member(s) of the review team shall act as consultants to the internal members, providing guidance to the internal members in their capacity as disciplinary experts. They shall normally be required to provide written reports.

One of the internal members of the review team shall normally act as chair of the review team. The chair shall be responsible for coordinating the preparation of the reviewers' report. Unless an external reviewer acts as chair, any reports from external reviewers shall form an appendix to the report.

Conducting the Review

The Review panel should obtain as appropriate preliminary information on the programs including the following:

- a) Previous Off Site review reports and details of any recommendations that were accepted for implementation;
- b) the most recent submissions by the Compliance Monitoring Manager to any other external agencies (e.g., accreditation bodies), and the agencies' reports on the school;
- c) a description of the school's graduate and non- degree programs, and any other material prepared by the CAO and the HT regarding its activities (e.g., handbooks for students, research reports).

As appropriate, the scope of the review should include, but not be restricted to, the following:

- a) the appropriateness of the course objectives,

5.4.2 Course Management
<ul style="list-style-type: none">b) the general effectiveness of the course in fulfilling its objectives;c) the adequacy of methods used by the CAO and the HT to:<ul style="list-style-type: none">i. gauge teaching effectiveness;ii. assure quality in the educational experience offered to its students;d) the adequacy of:<ul style="list-style-type: none">i. procedures on appointments;ii. support staff;iii. physical facilities for instruction and research. <p><i>After the Review</i></p> <p>The CAO shall circulate the report to all members and support staff, and to those who were interviewed by the team. Individuals should be invited to provide comments to the CAO.</p> <p>The CAO is responsible for preparing the response to the report. Based on the report, and the responses, and discussion of the report at the Faculty Council the CAO and the HT shall prepare a submission to the President (Accountable Manager), and Compliance Monitoring Manager for review and recommendation to the CEO.</p>
References
Cross References

5.4.3 Scheduling of Classes				
<p>Purpose</p> <p>This policy is designed to document the procedures NTPS employs to ensure accurate and appropriate scheduling for classes.</p>				
<p>Applicability</p> <p>All faculty and students</p>				
<p>Policy</p> <p><i>Scheduling of Classes</i></p> <p>The Operations branch is responsible for preparation of the timetable, including the assignment of general classrooms and scheduling flying operations.</p> <p>On a semi-annual basis the President (Accountable Manager) should submit to operations a listing of the courses it proposes to offer in the following year. The President, in conjunction with the CAO and the HT, establishes guidelines as to the minimum number of students necessary to offer a course of a course.</p> <p>Based on the information provided, a high level plan, known as the Yearly Schedule (Big Picture) will be prepared by the COO in consultation with CAO, HT, and approved by the President (Accountable Manager).</p> <p>Detailed weekly and daily schedules will be prepared by Operations and published on relevant notice boards and the NTPS website.</p> <p>Any requests for a change in the scheduled time or room, laboratory or plane for a class must be submitted to Operations for approval. Approved changes are published in the relevant class room, notice board and NTPS website.</p> <p><i>Standard Academic Hours</i></p> <p>Standard school hours are:</p> <table style="margin-left: 40px;"> <tr> <td>Class</td> <td>8:00am–5:00pm</td> </tr> <tr> <td>Flying</td> <td>7:30am – 4:30pm</td> </tr> </table> <p>Alternate Summer school hours are (if required):</p>	Class	8:00am–5:00pm	Flying	7:30am – 4:30pm
Class	8:00am–5:00pm			
Flying	7:30am – 4:30pm			

5.4.3 Scheduling of Classes	
Class	7:00am–4:00pm
Flying	6:30am – 3:30pm
 <i>Cancellation of Classes</i>	
<p>As soon as possible academic instructors or flying instructors should notify Operations of all scheduled classes or courses that are not being given; this will permit the reassignment of the room, plane or other equipment.</p>	
 <i>Dismissal and Shortening of Classes.</i>	
<p>Any general dismissal of classes or shortening of class periods on a school-wide basis, for whatever reason, requires prior approval by the President (Accountable Manager), except in emergency situations.</p>	
References	
Cross References	

5.4.4 Evaluation of Courses
<p data-bbox="219 256 324 289">Purpose</p> <p data-bbox="219 323 1388 399">NTPS is committed to ensuring that the courses it offers are of the highest quality and that students have the opportunity to provide feedback on the quality of courses taken at NTPS.</p>
<p data-bbox="219 459 389 493">Applicability</p> <p data-bbox="219 527 527 560">All faculty and students</p>
<p data-bbox="219 617 300 651">Policy</p> <p data-bbox="219 684 1388 760">NTPS has a comprehensive system of student course evaluation for every course taught by the instructors, regardless of academic rank of the instructor.</p> <p data-bbox="219 793 1388 911">At the end of each module the course coordinator, CAO, HT will conduct a feedback session. The course coordinator is responsible for ensuring that issues raised by students in the session are documented appropriately.</p> <p data-bbox="219 945 1323 978">Students are encouraged to be open and forthright in providing feedback to the School.</p> <p data-bbox="219 1012 1388 1129">The feedback sessions are designed so that students are able to provide feedback on any issues they have encountered in each module. However, at a minimum each feedback session should address</p> <ul data-bbox="267 1163 1388 1554" style="list-style-type: none"> • The structure of the course; • Achievement of academic outcomes; • Grading or assessment concerns; • Flying scheduling; • Quality of teaching staff; • Availability of appropriate teaching staff; • Availability of supporting resources, for example reference materials, library books and other support services for this course; • Other issues of concern to students. <p data-bbox="219 1587 1388 1705">In addition, each student completes a written course critique. These critiques ask the students to rate the achievement of the stated course academic outcomes. The students are also asked to recommend topics for addition and deletion.</p> <p data-bbox="219 1738 1388 1814">The relevant Course Coordinator will be responsible for assessing the feedback from the students and addressing the achievement of academic outcomes and any other issues raised</p>

5.4.4 Evaluation of Courses

in the end of course report. Recommendations for continuous improvement will be made and approved by the Faculty Council or relevant sub-committee.

References

Cross References

Policy 5.2.1 *Educational Objectives & Program Outcomes Development and Assessment Process*

5.4.5 Capstone Projects
<p data-bbox="219 256 324 289">Purpose</p> <p data-bbox="219 323 1388 399">The policy of the School with regard to the process required in the planning and execution of Capstone projects (T&E 4003).</p>
<p data-bbox="219 459 389 493">Applicability</p> <p data-bbox="219 527 365 560">All faculty.</p>
<p data-bbox="219 617 300 651">Policy</p> <p data-bbox="219 684 1388 970">The Capstone Project module (T&E 4003) is the final opportunity to evaluate the student to determine if he/she has the ability to apply the knowledge that he/she has learned during the program and is defined in the catalog as: “Conduct aerospace or flight test engineering projects under supervision of a faculty advisor (or a designated representative) and prepare acceptable reports. The projects may be one that the student is working on and is responsible for in his/her professional career or it may be an independent project selected with approval of Head of Training and Chief Academic Officer”.</p> <p data-bbox="219 1003 1388 1079">The HT and CAO are responsible to oversee Capstone Projects. The HT is primarily responsible for the Professional Course and the CAO for the master’s track. Duties include:</p> <ul data-bbox="267 1113 1388 1453" style="list-style-type: none"> • perform an oversight function to ensure that the policy is adhered to and that the processes are followed; • monitor the students work during the Capstone Project to determine if the necessary standards and learning outcomes have been achieved throughout the master’s degree program; • assigning project aircraft/system and tasks to the student; • assigning a project supervisor and two examiners; • liaise with Operations for scheduling. <p data-bbox="219 1486 1388 1562">Each Capstone Project should have two (2) examiners, one examiner may be the project supervisor and another examiner from within the NTPS Faculty.</p> <p data-bbox="219 1596 682 1629"><i>Responsibility of Project Supervisor</i></p> <p data-bbox="219 1663 812 1696">The project supervisor will be responsible for:</p> <ul data-bbox="267 1730 998 1860" style="list-style-type: none"> • mentor and guide the student through the project; • arrange travel and accommodation; • liaise with aircraft owner/operator and/or NTPS Ops;

<p>5.4.5 Capstone Projects</p> <ul style="list-style-type: none">• approve on-site changes to test plan;• act as safety representative during test phase. <p><i>Responsibility of Examiners</i></p> <p>Examiners will be responsible for:</p> <ul style="list-style-type: none">• grading the test plan and providing the student with feedback via TRB/SRB;• grading the written report and providing the student with feedback;• grading the oral presentation and providing the student with feedback. <p><i>Scope of the Capstone Project</i></p> <p>The Capstone Project is 3 quarter credits, which equates to approximately 100 hours (3 weeks) of full-time student work. It is important to note that <u>the Capstone Project is not a thesis</u> and in some cases the scope of the project must be limited.</p> <p><i>Acceptable Capstone Project</i></p> <p>Masters Focused students may specialize in either Systems or Performance & Flying Qualities, depending on their track, while Professional Course students are encouraged to do projects that demonstrate their abilities in both Systems and Performance and Flying Qualities test and evaluation. The intent of the Capstone Project is for the student to demonstrate that he/she has the ability to apply what was learned during the course of his/her studies in the Program within the defined scope of the project.</p>
<p>References</p>
<p>Cross References</p>

5.4.6 Credit System
<p>Purpose</p> <p>The policy of the School with regard to the credit system</p>
<p>Applicability</p> <p>All faculty.</p>
<p>Policy</p> <p>NTPS operates on a Quarter credit system:</p> <ul style="list-style-type: none">• A minimum of 10 clock hours of classroom/airborne lab instruction equals 1 quarter credit.• A minimum of 30 clock hours of practical exercises, including preparation, data analysis, report writing and presentation where students work on their own equals 1 quarter credit hour.
<p>References</p> <p>California Education Code, Title 3, Division 10, Part 59, Chapter 8 and corresponding regulations set out in Title 5, California Code of Regulations, Division 7.5,</p> <p>5 CCR §71770(b)</p>
<p>Cross References</p>

5.4.7 Text Book Review
<p>Purpose</p> <p>The policy of the School with regard to the review of text books</p>
<p>Applicability</p> <p>All faculty.</p>
<p>Policy</p> <p>The CAO and the HT are responsible for the choice/review of the textbooks/handbooks used at NTPS and is responsible for their being relevant to the approved Syllabus and Training manual.</p> <p>Text books must be reviewed annually by the relevant Chiefs of Academics.</p> <p>Any changes to the selection of textbooks must be approved at the Faculty Council Meeting for recommendation to the President.</p> <p>Substantial changes to the NTPS Handbooks must be reviewed and approved at the Faculty Council Meeting.</p> <p>Minor changes can be approved directly by the CAO and the HT after the review of the Chief Flight Instructor and/or Chief Theoretical Knowledge Instructor.</p>
<p>References</p>
<p>Cross References</p>

5.5 Admissions

5.5.1 Admissions
<p>Purpose</p> <p>The unique nature of flight test and evaluation requires specialized knowledge embracing engineering, physical science, technical management, and human factors. Thus a strong technical background and superior engineering and science skills are mandatory to ensure success in the thorough, demanding and specialized course of instruction at NTPS. Regardless of the training track chosen, students must meet minimum prerequisites.</p>
<p>Applicability</p> <p>All Masters candidate students</p>
<p>Policy</p> <p>There are two ways to gain admission to NTPS, depending upon the desired program. Professional Course students are normally nominated by a sponsoring organization and Masters Focused students make applications as individuals.</p> <p><i>Master of Science in Flight Test Engineering or Flight Test and Evaluation</i></p> <p>NTPS admits all students to the Professional Course upon recommendation of a sponsoring organization who initially certifies that its student(s) meet NTPS prerequisites. Master's Focused students apply as individuals. All students who elect to pursue a Master of Science degree must have the required prerequisites.</p> <p><i>Master of Science Requirements</i></p> <p>All admissions are granted on a competitive basis. Criteria based solely on an undergraduate minimum grade point average can be misleading. Each applicant is considered individually, and criteria may include scholastic ability, maturity, demonstrated accomplishment, statement of purpose and capacity for growth. Specific requirements are listed below.</p> <p>Applicants must possess an earned Bachelor of Science or equivalent degree in an engineering discipline, mathematics, science, technical management, or other flight test related field. Special requirements exist for students seeking admission to the Master of Science in Flight Test Engineering and are specified in Policy 5.5.3 – <i>Transcript Analysis</i>. Applicants should have earned a minimum GPA of 3.00 in discipline in their junior and senior years or equivalent. A master's degree from an accredited institution may satisfy this requirement. Students with other academic backgrounds will be considered on a case-by-case basis and may be conditionally admitted provided mathematics training through</p>

5.5.1 Admissions
<p>Differential Equations is demonstrated. Advancements to full graduate status are automatically gained after satisfactory completion of 12 credits.</p> <p>English is the recognized language of the International Civil Aviation Organization (ICAO) and NTPS expects all incoming students to meet the ICAO requirements for speaking, reading and understanding the English language. All applicants whose native language is not English or who were educated at schools where English is not the language of instruction in all disciplines must submit evidence of English language proficiency. Evidence consists of an official test report for the Test of English as a Foreign Language (TOEFL) submitted directly to NTPS from the testing agency. The minimum acceptable computer score is 190. Students who do not pass these criteria may study English as a Second Language either privately or attend the Learning Center.</p> <p>All international students must be cleared through the State Department in accordance with Policy 5.5.6 <i>State and Defense Clearance</i> if they will receive any ITAR related training.</p> <p>Application forms are available online at the NTPS website (www.ntps.edu) or from the NTPS office. An application form must be completed and submitted to NTPS. Enrollment is limited and will be accepted in order of receipt.</p> <p>The course schedule and course costs are published each year on the NTPS website. See Policy 5.5.4 <i>Course Fees</i> for information on course fees.</p> <p>The National Test Pilot School reserves the right to cancel any course and return all fees in the event of insufficient registration. The liability of the National Test Pilot School is limited to the registration fee. NTPS will not be responsible for any losses incurred by the registrants, including but not limited to airline cancellation charges or hotel deposits.</p>
References
<p>Cross References</p> <p>Appendix 1 - NTPS Application Form</p> <p>Policy 5.5.3 <i>Transcript Analysis</i></p> <p>Policy 5.5.4 <i>Course Fees</i></p> <p>Policy 5.5.6 <i>State and Defense Clearance</i></p> <p>Student Handbook</p>
5.5.2 Admission Procedures
Purpose

5.5.1 Admissions
NTPS ensures that all records of student admissions are complete and accurate.
<p>Applicability</p> <p>Administration staff</p>
<p>Policy</p> <p>An application form completed by the student must be received either electronic or written format. Information submitted by students must be included entered into the Admissions database [M:\Administrative\Admissions\Admissions.mdb]</p> <p>At a minimum the following information must be received and recorded:</p> <p><i>Personal Information</i></p> <ul style="list-style-type: none"> • name; • date of Birth; • address; • country of Citizenship; • ethnicity; • sex; • organization; • course enrollment (including dates). <p><i>Academic Background</i></p> <ul style="list-style-type: none"> • high School • date; • location; • awards attained; • college/ university attendances; • date; • location; • awards attained; • major; • graduate School attendances; • date; • location; • awards attained;

5.5.1 Admissions

- major;
- academic transcripts (*);
- military Service Background.
- **English proficiency**

Flying Background

- fixed wing/ Rotary wing;
- type;
- hours;
- ratings;
- license (including country of issue) (*).

Note

* A hard copy of this information must be maintained on the student's file.

References

Cross References

Finance Section – (Student fees are appropriately recorded)

Policy 5.5.3 *Transcript analysis*

Policy 6.2.6 *Student Records*

5.5.3 Transcript Analysis
<p data-bbox="219 262 324 294">Purpose</p> <p data-bbox="219 325 1388 493">Students who apply to the Master of Science in Flight Test Engineering and Masters of Science in Flight Test and Evaluation must meet certain criteria. This policy establishes the review procedures for incoming students to ensure satisfaction of the entry criteria and sets out the responsibility for the appointment of the Committee and its tasks.</p>
<p data-bbox="219 546 389 577">Applicability</p> <p data-bbox="219 609 503 640">The CAO & Registrar</p>
<p data-bbox="219 703 300 735">Policy</p> <p data-bbox="219 766 1388 1302">The transcript review process will occur on a continuing basis as dictated by incoming student applications and transcripts to ensure that prospective students have met the general admissions criteria as set out in Policy 5.5.1- <i>Admissions</i>. Additionally, the review will ensure that those students seeking admission to the Master of Science in Flight Test Engineering meet the specific requirements of the ABET Engineering Accreditation Committee (EAC). Graduates of a US college or university ABET accredited engineering program are eligible to receive the Master of Science in Flight Test Engineering degree title. This stipulation extends to students who have received an engineering degree from a foreign college or university in a country that is a signatory to the ABET Washington Accord (Australia, Canada, Hong Kong, Ireland, Japan, New Zealand, South Africa, and U.K.) Experience has shown that graduates of Korean universities and the ROKAF Academy meet ABET requirements but their transcripts must be evaluated on a case by case basis to ensure that they meet ABET criteria.</p> <p data-bbox="219 1333 1388 1501">The CAO is responsible to review the transcript of each Master’s track applicant student and decide about eligibility for a specific track for enrollment. For borderline cases, the CAO will present the case to the Faculty Council. The Faculty Council members will then decide via voting for the most appropriate Master title track.</p> <p data-bbox="219 1533 1388 1690">Should a student challenge his or her placement in the MSFT&E degree title track, the student’s transcript will be sent at the student’s expense to the Engineering Credentials Evaluation International (ABET website, www.abet.org/ecei.html) for evaluation. Their decision is final.</p> <p data-bbox="219 1722 1388 1848">The CAO will confirm in writing that all students who have been accepted into the Master of Science in Flight Test Engineering and Master of Science in Flight Test and Evaluation degree title tracks fulfill the appropriate requirements.</p>

5.5.3 Transcript Analysis

References

www.abet.org

Masters Program Admissions Guidance Handbook

Cross References

Policy 5.5.1 *Admissions Policy*

5.5.4 Fees
<p>Purpose</p> <p>This policy sets out the costs of NTPS and NFTI courses and fee payment methods.</p>
<p>Applicability</p> <p>All students and all staff</p>
<p>Policy</p> <p>Course fees are revised each semester for NTPS courses. Updated fees may be published on the NTPS website (www.ntps.edu) and in the course catalog.</p> <p>Course fees are payable 30 days prior to the first day of course, unless otherwise negotiated. On acceptance of enrollment an invoice for course fees will be provided to all students. A receipt for course fees is available on request</p> <p><i>Payment Methods</i></p> <p>Payments can be made by check, VISA and MasterCard and wire transfer. All fees are payable in US Dollars.</p> <p>Checks are to made payable to the National Test Pilot School and mailed to:</p> <p style="padding-left: 40px;">National Test Pilot School 1030 Flight Line, Bldg. 72, Mojave Airport Mojave, CA, 93501-0658</p> <p>Wire transfers can be made to</p> <p style="padding-left: 40px;">Mojave Desert Bank Mojave, CA, 93501 Routing Number: 122242050 Account Number: 041001793</p> <p>Course fees received by NTPS must be recorded in accordance with Section 2.3.3.1 <i>Receipts</i></p>
<p>Cross References</p> <p>Section 2.3.3.1 <i>Receipts</i> Policy 5.5.5 <i>Fee Refund Policy</i></p>

5.5.4 Fees
5.5.5 Cancellation, Withdrawal and Refund Policy
<p>Purpose</p> <p>This policy sets out the circumstances under which a student is entitled to a refund and under which the National Test Pilot School is able to cancel a course and administer the withdrawals for students.</p>
<p>Applicability</p> <p>All students</p>
<p>Policy</p> <p>Self-funded students can obtain a refund as per the school policy outlined in the NTPS Catalog.</p> <p>Refunds for a student attending NTPS under a sponsor’s contract will be as per the terms of the contract.</p>
<p>References: Title 5 of the BPPE Code 71750</p>
<p>Cross References</p>

5.5.6 State and Defense Clearance

Purpose

The scope of academic instruction provided by NTPS constitutes the provision of technical data of a defense article under Section 121.1 of the International Traffic in Arms Regulations (ITAR). Therefore, the National Test Pilot School is regulated by, and must comply with the ITAR. Authorization must be obtained from the Directorate of Defense Trade Controls for international students. This policy sets out the requirements for clearance.

Applicability

All Staff

Policy

It is NTPS's policy to comply with all applicable requirements of the ITAR. ITAR is administered by the:

- US Department of State
- Bureau of Political-Military Affairs
- Directorate of Defense Trade Controls (DTC).

ITAR typically requires that an approved Technical Assistance Agreement (TAA) be in place between NTPS and a foreign body before the provision of any services to the foreign body can occur. To obtain approval for the proposed TAA, it must be submitted to the DTC, along with a transmittal letter and a DSP-5 vehicle. ITAR sets out certain requirements for both the transmittal (electronically) letter and the proposed agreement with the foreign end user. All NTPS applications for approval must comply with the conditions set out in the relevant ITAR section:

- The transmittal letter.
 - ITAR 124.12 – Required Information in Letters of Transmittal
 - DPS-5 Vehicle – Guidelines for preparing electronic agreements
- The proposed agreement with the foreign end-user.
 - ITAR 124.7 – Information required in all Technical Assistance Agreements
 - ITAR 124.8 – Clauses required in Technical Assistance Agreements

The request for approval is reviewed by the Department of Defense, Directorate of Defense Trade Controls, US State Department, Department of Justice and other agencies. All agencies must agree to the request before an approval is provided.

5.5.6 State and Defense Clearance

Once approval is given a DTC Case Number is assigned. NTPS requires a DTC Case Number before the agreement between the foreign end-user and NTPS is executed, and the service can be provided. On receipt of the approval, the agreement must be signed by all parties. These documents are lodged with the US State Department and will remain on file for 6 years or until terminated by either NTPS or the US State Department.

A copy of ITAR can be found on the DTC website (www.pmdtc.org).

References

22 CFR Parts 120-130 *International Traffic in Arms Regulations*,

U.S. Government Printing Office, Revised as of April 1, 2003

Cross References

5.5.7 Financial Aid
<p>Purpose</p> <p>This policy sets out the guidelines required for students to obtain any form of financial aid through NTPS.</p>
<p>Applicability</p> <p>Not currently applicable. NTPS is not registered to provide financial aid Title IV funds. If and when NTPS becomes registered to provide Title IV funds students will be eligible to apply for federal funding.</p>
<p>Policy</p> <p>NTPS does not currently have any eligible form of financial programs; therefore, students are not able to apply for Title IV financial aid.</p>
<p>References</p> <p><i>The Student Guide Financial Aid from the US Department of Education 2010</i></p>
<p>Cross References</p> <p><i>Policy 5.5.8 Compliance with Title IV Financial Aid Requirements</i></p>

5.5.8 Compliance with Title IV Financial Aid Requirements
<p>Purpose</p> <p>To ensure that U.S. Department of Education guidelines are met concerning the monitoring and administration of Title IV Funds for tuition.</p>
<p>Applicability</p> <p>Not currently applicable. There are no students currently enrolled at NTPS or NFTI that are receiving Title IV financial aid. When applicable to the NTPS and NFTI a policy and procedure will be forthcoming.</p>
<p>References</p>
<p>Cross References</p>

5.6 Degree and Graduation Requirements

5.6.1 Graduation Requirements
<p>Purpose</p> <p>This policy sets out requirements for graduation from NTPS courses.</p>
<p>Applicability</p> <p>All students and faculty</p>
<p>Policy</p> <p>Students must complete the general graduation requirements as prescribed by the School, as well as all degree requirements specified in the degree being pursued. The following summary of graduation requirements is provided for all students:</p> <ol style="list-style-type: none"> a) Students must successfully complete all required courses for a particular degree listed in the applicable catalog. b) Students must successfully complete the minimum number of credit hours required for the degree as listed in the applicable catalog. c) Students pursuing a master's degree must complete the minimum credit hours required as set out in the course catalogue. Credit transferred from other institutions will be accepted at the discretion of the School. d) Students pursuing a master's degree must earn a minimum grade in accordance with Policy 5.6.4 <i>Grading Systems</i>. Details are specified under the degree requirement headings of the Academic Programs section in this catalog. e) Students will not be issued a diploma or transcript of their records until all debts or obligations owed to the School have been satisfied. f) Students will not be issued a diploma unless their behavior is in good standing, according to School policies and regulations. This includes, but is not limited to, not being on disciplinary probation. g) Students will not be permitted to participate (they may attend but not participate) in formal graduation ceremonies conducted until all of the degree requirements listed above have been satisfied. h) In the event that a graduating student does not attend a scheduled graduation exercise, the diploma the student's academic transcript with the degree information is mailed to the address provided by the student.
<p>References</p>

5.6.1 Graduation Requirements
<p>Cross References</p> <p>Policy 5.5.4 <i>Grading Systems</i></p>
5.6.2 Distinguished Graduates
<p>Purpose</p> <p>This policy sets out the criteria for awarding individual awards to Professional Course graduates.</p>
<p>Applicability</p> <p>All</p>
<p>Policy</p> <p>Professional Course Graduates who achieve an outstanding level of accomplishment can be awarded “Distinguished Graduate” standing. The top graduating test pilot and the top graduating flight test engineer from the professional course track are eligible for the John Bishop Award and the Ron Bradley Award respectively.</p> <p>Distinguished Graduate: To be eligible for Distinguished Graduate honors students should be in the top 20% of their graduating class and demonstrate outstanding comprehension of flight testing. GPAs below 90% will not be considered for DG honors unless under exceptional circumstances.</p> <p>John Bishop and Ron Bradley Awards: The Bishop Award is given to the top test pilot graduate. It weighs individual achievement (versus team accomplishments) with an emphasis on the student’s flying skills. The Bradley Award is given to the top-flight test engineer graduate. It weighs individual achievement (versus team accomplishments) with an emphasis on the student’s academic skills. To be eligible for either the Bishop or the Bradley award, the recipient should be a distinguished graduate. Both awards also consider non-graded factors such as judgment, professionalism, and attitude. If the Faculty Council believes that none of the graduates are worthy to receive these awards, there is no requirement that they be awarded.</p> <p>The following process is used to determine the recipients of these awards.</p> <ol style="list-style-type: none"> 1) Using the final transcript, determine the average grades for academic exams, oral reports, written reports, and flying. 2) Apply the following weighting factors to these averages:

5.6.1 Graduation Requirements

- Academic exams = 1.0 (pilots) /1.5 (engineers)
 - Oral Reports = 1.0
 - Written Reports = 1.0
 - Flying = 1.5 (pilots) /1.0 (engineers)
- 3) The Final Project grades have a weighting factor of (2).
- 4) Although the resulting scores are the primary basis for determining the award recipients, the following additional factors will also be considered by the Faculty Council: overall depth of understanding, judgment, professionalism, leadership, and attitude.

References

Cross References: 5.6.4 *Grading System*

5.6.3 Transfer of Credits
<p data-bbox="219 256 324 289">Purpose</p> <p data-bbox="219 323 1388 399">To document the policy of NTPS with regard to the acceptance of transfer credits from other institutions.</p>
<p data-bbox="219 459 389 493">Applicability</p> <p data-bbox="219 527 373 560">All students</p>
<p data-bbox="219 617 300 651">Policy</p> <p data-bbox="219 684 1388 760">Courses completed from other institutions may be considered for transfer by NTPS. Applications will be accepted at the discretion of the School upon approval by the CAO.</p> <p data-bbox="219 793 1388 911">Transfer credit is applicable to Master of Science students only. A maximum of six credit hours or units (nine quarter credits) of transfer credit may be applied towards the Master of Science in Flight Test and Evaluation degree.</p> <p data-bbox="219 945 1388 1020">A course that was completed at another college or university may be considered for transfer to a master's program provided that:</p> <ul data-bbox="267 1054 1388 1688" style="list-style-type: none"> • The course is classified as a graduate course. • It was completed while the student was in a graduate or post-baccalaureate classification. • The courses were completed with a minimum grade of B or equivalent. • The college or university is accredited by one of the following six U.S. regional accrediting agencies: the Southern Association of Colleges and Schools, the Middle States Association of Colleges and Schools, the New England Association of Colleges and Schools, the North Central Association of Colleges and Schools, the Northwest Association of Colleges and Schools, or the Western Association of Colleges and Schools. Exceptions are allowed for transfer from foreign institutions if the department or program provides the Graduate School with adequate documentation that the course is relevant to the graduate degree, with appropriate content and level of instruction resulting in student competencies at least comparable to those of students taking the equivalent course at NTPS, and that the course was taught by faculty who are qualified to teach at the master's degree level. <p data-bbox="219 1722 1388 1839">The School will examine the course content, level of the course and the institution where the credit was earned. Where the School accepts credit from other institutions the following conditions must also be met:</p>

5.6.3 Transfer of Credits
<ol style="list-style-type: none">1) Official transcripts from institutions where credit was earned were received directly from the institutions.2) The courses were completed with a minimum grade of B or equivalent.3) The courses were completed within the five-year period immediately preceding the date the Application for Admission was received by NTPS.
References
Cross References

5.6.4 Grading System

Purpose

This policy is designed to document the NTPS grading system and course weightings.

Applicability

All faculty and students

Policy

Professional Course Academic Standards and Grading System

Written examinations are graded on a numerical scale for all students. All other assignments such as graded flights, oral presentations, and written reports are assigned a descriptive grade. Not all assignments are of equal scope, therefore weighting factors may be assigned to specific assignments, and are used in calculating student's final grade. Typically, examinations, graded flights, oral presentations and written reports are weighted equally (25% each). If a module does not have all four of these aspects, the remaining aspects are weighted equally (e.g. 33% each for only three, 50% for two etc.). Course Coordinators may change the weighting as required on approval by the relevant Chief of Academics and the gradebook specialist must be informed of the weighting that needs to be applied to the spreadsheet. Once the grade for the module has been sent to the Registrar it will be considered final. A final overall grade is determined for class standing as shown on the following page.

A professional course student who fails to attain a grade of at least 70 for an examination, data flight, AltMoc flight, oral or report will receive a verbal warning from the CAO or HT as appropriate (counseling), remedial training and a reexamination. A second failure of anything in the same module will result in a warning letter from the CAO notifying the student and sponsor organization of possible suspension (probation) and the third failure of anything in the same module could result in the failure of that module and suspension from NTPS at the discretion of the President (Accountable Manager) in consultation with the CEO.

While not normally graded, a student may fail a demonstration flight by being unprepared to receive training, a safety breach or not assimilating the training sufficiently to participate in the data flight. In these circumstances the instructor is to complete a TP or FTE Flying Grade Sheet and note the specific failing. After a failure on a demonstration flight the appropriate Chief Flying Instructor will investigate the root cause and develop a remedial training package. Remedial training could include some or all of the following: tutorial,

5.6.4 Grading System

system review, simulator session, flight and debrief. Once the student has demonstrated competency they can continue on to the data flight.

Masters Focused Academic Standards and Grading System

A Masters Focused student who fails to attain an overall grade of at least 70 for the course requirements (exams and written requirements as applicable) will fail the course.

NTPS/NFTI Grading System

A passing grade in the NTPS Grading System 70. The following is a descriptive guide to the NTPS grading system

NTPS/NFTI Grading System		
<i>Letter Grade</i>	<i>Numerical Equivalent</i>	<i>Meaning</i>
A	90 - 100	Accomplished
B	80 - 89	Competent
C	70 - 79	Satisfactory
U	<70	Unsatisfactory
I		Authorized Incomplete
IP		In Progress
P		Pass
W		Withdrawal from a course
WF		Withdrawal from a course - Failing
NC		No Credit
AU		Audit
T		Transfer Credit

Weighting for Class Standing (Professional Course)

For purposes of class standing a single grade will be calculated. The grade will be an average of each module grade plus the final unknown aircraft project grade which will be double weighted.

Engineering Research and Thesis (Academic Track)

All students in good standing must enroll in T&E 4003, Capstone Project, in the calendar year in which they anticipate submitting their report. Should they be unable to complete their project in that year, a grade of IP (In Progress) will be assigned but they will be required to re-enroll in T&E 4003 in any subsequent year in which they submit their report. Upon submission of a satisfactory report, a grade of P (Pass) will be awarded in place of IP.

5.6.4 Grading System

Students who have enrolled in T&E 4003 but who do not submit a satisfactory report within five years after initial enrollment will be considered withdrawn and receive a grade of W (Withdrawal).

Withdrawing from a Course

Students receive a grade of W if they withdraw from a course before the close of business on Wednesday of the week in which the course module is presented. Withdrawal after Wednesday will result in a WF grade.

Incomplete Grades

Incomplete grades are temporary grades assigned when extenuating circumstances prevent a student from completing a course. If a student does not complete the course within a time period mutually agreed to with the course advisor, the grade of I automatically converts to WF.

Grievance Procedures

Course grades assigned by instructors are presumed to be correct. A student who believes that a course grade has been assigned inappropriately can appeal the grade under Policy 6.1.3 *Academic Appeal Procedures*.

References

Cross References: Policy 5.6.2 *Distinguished Graduates*

5.6.5 Readmission of Students
<p data-bbox="217 258 326 289">Purpose</p> <p data-bbox="217 323 1385 401">This document details the NTPS policy on the readmission of students after a voluntary break in studies or suspension from the school</p>
<p data-bbox="217 459 391 491">Applicability</p> <p data-bbox="217 525 597 556">All staff, faculty and students</p>
<p data-bbox="217 617 305 648">Policy</p> <p data-bbox="217 682 383 714"><i>Introduction</i></p> <p data-bbox="217 747 1385 951">A student who fails to enroll or attend at all, during any regular semester, is considered a “former student”, and must re-apply for admission to continue. Readmission applications should be submitted as soon as possible but no later than 30 days prior to the date of desired enrollment. Former students returning should be aware that enrollment restrictions may be imposed at any time, which may affect their readmission.</p> <p data-bbox="217 984 813 1016"><i>Readmission for Students Eligible to Continue</i></p> <p data-bbox="217 1050 1385 1211">Students who were eligible to continue at NTPS at the time of leaving and who have an average grade of at least 80 (satisfactory) on all courses taken at NTPS are eligible to be readmitted to their former program, provided the program has the capacity to accept additional students.</p> <p data-bbox="217 1245 1385 1323">A student who was eligible to continue at the time of leaving and whose grade average is less than 80 on all courses taken at NTPS will be:</p> <ul data-bbox="269 1356 1385 1608" style="list-style-type: none"> <li data-bbox="269 1356 1385 1476">• Considered for readmission on Academic Warning status if the student's GPA is not lower than the level required to be eligible to continue under the current regulation; or <li data-bbox="269 1486 1385 1608">• Considered for readmission on Academic Probation Status for one semester if the student's GPA is below the level required to be eligible to continue under the current policy. <p data-bbox="217 1642 870 1673"><i>Readmission for Academically Suspended Students</i></p> <ul data-bbox="269 1707 1385 1827" style="list-style-type: none"> <li data-bbox="269 1707 1385 1827">• A student whose grade point average on all courses taken at NTPS is such that the student has been suspended may seek readmission through the academic appeals procedures.

5.6.5 Readmission of Students

- Readmitted academically suspended students will be on Academic Probation Status and will not be considered in good academic standing until such time as they meet the appropriate minimum cumulative GPA requirements.

Readmission Based on Academic Appeals

If the student chooses not to pursue any of the above course options or fails to earn grades sufficient to meet the minimum cumulative GPA requirement, the following rules for appeals through policy 6.1.3 *Academic Appeals Procedures* will apply:

1) After First Notice of Academic Suspension

- a) Upon receiving the first notice of academic suspension from the School, a mandatory one regular semester break in enrollment will be imposed for the semester following receipt of the notice.
- b) After an absence of at least one regular semester following the first notice of academic suspension, students may petition for readmission through the Admission Appeals process. The petition should provide evidence of motivation and/or achievement based on any academic work or systematic review of previous performance completed during the suspension period.
- c) Upon readmission the student will be allocated an academic advisor and must meet with their advisor to update their plan of study and review their strategies for academic success. Failure to meet with the advisor and to update their plan of study may result in the cancellation of the student's enrollment.

2) Second Notice of Academic Suspension

- a) Upon receiving the second notice of academic suspension from the School, a mandatory two regular semester break in enrollment will be imposed. At the end of the mandatory period, the student may petition through the academic appeals procedure for readmission.
- b) Petitions for readmission must be accompanied by:
 - i. transcript of any courses (including grades) taken during the suspension, and
 - ii. a detailed plan of study, developed with the assistance and approval of the adviser, or department designee, outlining courses to be taken in each subsequent semester and the level of performance (GPA and number of hours each semester) necessary to complete the degree requirements, and
 - iii. a written evaluation by the adviser candidly discussing the probability the student will be able to meet the performance expectations, and

5.6.5 Readmission of Students
<ul style="list-style-type: none">iv. evidence that the student participated in the specified intervention program following the automatic reinstatement after the first academic suspension.c) If the Appeals Committee decides to readmit the student:<ul style="list-style-type: none">i. The student as a mandatory condition of continued enrollment must follow the negotiated plan of study. The plan of study shall specify the GPA to be maintained and the number of hours to be carried by the student each semester until graduation.ii. This plan of study cannot replace or supersede School graduation requirements.iii. Failure to follow the plan of study will result in the cancellation of the student’s enrollment and a third notice of suspension from the School.d) If the student performs at a level to earn a cumulative GPA that exceeds 2.0, strict adherence to the plan of study may no longer be required. However, a student whose performance drops in subsequent semesters will then be subject, to a third suspension for poor academic performance. <p>3) Third Notice of Academic Suspension</p> <p>Upon the third notice of academic suspension, the student will be permanently suspended from the School.</p> <p><i>Notice of Readmission</i></p> <p>Once a student has received notice of readmission, the student should pay the semester’s tuition and register for the schedule of courses agreed upon in consultation with her/his adviser.</p>
References
Cross References

6 Students

Student admissions

- Admission policies

Students

- How to apply
- Programs (as on NTPS internet site)
- Criteria for acceptance (ie admission tests) – pre requisites included on internet site
- Schedule of classes (a schedule will be published each year)
- Fees and Refund/ cancellation policy (fees to be published each year, in USD, refund policy per info booklet_
- Certificates of completion?
- Instructors biographies

NTPS

- Admissions
- Acceptance criteria (cross reference to 5000)
- Instructor biographies to be updated and published each year
- Fees and Refund/ cancellation policy (fees to be published each year, in USD,
- Students rights and responsibilities and Student conduct
- Grievance procedures
 - Academics
 - Violations to code of conduct
- Student services
 - Student services coordinator (Cathy) available to staff and families
 - (per LA OSD)
 - Note taking
 - Proctoring (test taking assistance)
 - Transcription
 - Reading
 - Interpreting
 - Mobility
 - Disability
 - Housing/ Accommodation (temp and long term)
 - Tutorial Referrals,
 - Disability Management Counseling and
 - Information and Referral among others
 - Financial assistance
 - ESL training
 - Financial aid
 - Health
 - Course Materials and Textbooks

Library (see eligibility report)

- Society of Experimental Test Pilots online library
- FirstSearch® including inter library loans

6.1 Student Rights & Privileges

6.1.1 Student Code of Conduct

Purpose

When students choose to accept admission to the School, they accept the Rights and Responsibilities of membership in the School's academic and social community. As members of the School's community, students are expected to uphold its values by maintaining a high standard of conduct. Because the School establishes high standards for membership, its standards of conduct, while falling within the limits of the law, may exceed federal, state, or local requirements.

Applicability

All students

Policy

Student Responsibilities

Along with rights come certain responsibilities. Students at the School are expected to act consistently with the values of the School community and to obey local, state, and federal laws. Students are expected to conduct themselves in a manner conducive to an environment of academic integrity and of respect for the educational process and the safety and well-being of all members of the School community. The actions cited below as prohibited conduct should be used as a guide rather than an exhaustive list of behaviors that the School considers misconduct and subject to disciplinary action.

Violations

The following behaviors contradict the values of the School community and are subject to action under this Statement:

Prohibited Non-Academic Conduct

- a) Physically harming another person including acts such as killing, assaulting, or battering;
- b) Sexually assaulting or sexually harassing another person;
- c) Hazing, stalking, or harassing another person;
- d) Possessing, using, or storing firearms, explosives, or weapons on School-controlled property or at School events or programs (unless approved by the CEO & President (Accountable Manager); such approval will be given only in extraordinary circumstances);

6.1.1 Student Code of Conduct

- e) Tampering with fire or other safety equipment or setting unauthorized fires;
- f) Illegally possessing, using, distributing, manufacturing, or selling alcohol or other drugs;
- g) Intentionally and falsely reporting bombs, fires, or other emergencies to a School official;
- h) Stealing, vandalizing, damaging, destroying, or defacing School property or the property of others;
- i) Obstructing or disrupting classes, research projects, or other activities or programs of the School; or obstructing access to School facilities, property, or programs.
- j) Making, possessing, or using any falsified School document or record; altering any School document or record, including identification cards and meal cards;
- k) Failing to leave School-controlled premises when told to do so by a police or security officer with reasonable cause;
- l) Violating state or federal law if such action has serious impact on the School community;
- m) Misusing, failing to comply with, or jeopardizing Statement procedures, sanctions, or mediated agreements, or interfering with participants involved in the resolution process; and
- n) Violating School computer policies.

Prohibited Academic Conduct

- a) Furnishing false information to the School pertaining to one's own or to others' academic work, activities, records or status or initiating, or causing to be initiated, any false report pertaining to one's own or to others' academic work, activities, records or status (Falsification of Records or Official Documents);
- b) Possessing, using, or distributing and altering or destroying any materials or information for the purpose of dishonestly affecting one's own or others' academic work, grades, or student status (Cheating);
- c) Aiding or abetting another in obtaining, using, or distributing any materials or information for the purpose of dishonestly affecting one's own or others' academic work, grades, or student status (Aiding and Abetting Dishonesty);
- d) Submitting as one's own any work which, in part or whole, is not entirely one's own work without properly attributing it to its correct source (Plagiarism);

6.1.1 Student Code of Conduct

- e) Presenting data which were not gathered, or are not accounted for, in accordance with the appropriate methods for collecting and generating data (Fabrication);
- f) Interfering with the academic work or study of other members of the School community. This includes, but is not limited to, alteration, destruction, and denial of access to learning materials;
- g) Failing to comply with additional specific criteria for academic conduct communicated by the instructor to his/her class regarding assignments, tests, and/or exams;
- h) Violating, or aiding and abetting the violation of, any published School academic policy, regulation, or procedure;
- i) Attempting to commit, or assisting another in attempting to commit, any act prohibited by this Code; and
- j) Violating the terms of any disciplinary sanction imposed in accordance with Policy 6.1.2 *Violations of the Student Code of Conduct – the Disciplinary Review Board*.

Scope of the Violations

Behavior which occurs in Mojave, on School-controlled property, or at School sponsored events/ programs may violate the Statement. Behavior which occurs outside Mojave or outside School-controlled property may violate the Statement only if the behavior poses an obvious and serious threat or harm to any member(s) of the School community.

Violations to the Code will be dealt with in accordance with Policy 6.1.2 – *Violations to the Student Code of Conduct – the Disciplinary Review Board*

References

Cross References

Policy 6.1.2 – *Violations to the Student Code of Conduct – the Disciplinary Review Board*

6.1.2 Violations of Student Code of Conduct - the Disciplinary Review Board

Purpose

The School will use the following procedures to respond to behavior which goes against the values of the School community as defined in Policy 6.1– *Student Right & Privileges* and Policy 6.1.1 – *Student Code of Conduct*. The School considers the procedures for resolving disputes a part of its educational mission and is committed to a process which provides both peer review and mediation.

Applicability

All students

Policy

Any student, faculty member, or staff member may submit a complaint alleging a violation of the Student Code of Conduct. A student, faculty member, or staff member may also submit a complaint based upon information reported to that person.

Procedures for redress of complaints must protect the respondent against unsubstantiated and false charges of bias or unfairness. Therefore, in complaint there is a presumption that procedures have been fairly followed. It is the responsibility of the complainant to demonstrate otherwise. The final responsibility for imposing sanctions rest solely with the Disciplinary Review Board.

Resolution and appeal processes are administrative functions and are not subject to the same rules of civil or criminal proceedings. Because some violations of these standards are also violations of law, students may be accountable to both the legal system and the School.

Definitions

Section A:

- a) A “Dispute” may be any point of issue between a student and another student, faculty, academic administrator, or staff professional, in which it is alleged the student has violated the Students Code of Conduct.
- b) “Complaint” is defined as a written dispute. A “Complaint” is a difference, presented in writing, which may arise between student and another student, faculty, academic administrator, or staff professional, with respect to violations of the Students Code of Conduct.
- c) “Complainant” is defined as the individual lodging the complaint and/or grievance.

6.1.2 Violations of Student Code of Conduct - the Disciplinary Review Board

- d) “Respondent” is defined as the faculty, academic administrator, or staff professional most directly responsible for the alleged action(s) and/or decision(s) resulting in the complaint and/or grievance.
- e) “Academic Term” is defined as six-month period beginning after the summer or Christmas break.

Section B: It is the desire of the school that any Complaint be handled in a timely manner. The Complaint procedures must adhere to the time deadlines stated in the complaint procedures.

Section C: This document is not intended to inhibit the resolution of a problem in any satisfactory informal way.

Section D: At any point in these grievance proceedings the Complainant may move to withdraw the Complainant or accept a solution.

Section E: The President (Accountable Manager) or designee may be consulted by the Complainant at the earliest opportunity.

Section F: The school has a strict policy of zero tolerance of actual or implied violence. If at any time a Complainant or Respondent engages in harassment or intimidation, the grievance will immediately become a disciplinary matter to be dealt with by airport security.

General Provisions

Section A: Disputes and/or Complaints may be brought against a student actions and/or decisions of faculty, administrators, staff in admissions, records, financial aid, counseling, placement or other student service offices for failure to adhere to written campus policies or for procedures or actions that constitute arbitrary, capricious, or unequal application of those procedures.

Section B: A complaint and/or grievance may be initiated on the basis of a claim of: (refer to for definitions)

- (1) Violation of established academic policies and regulations
- (2) Clerical error
- (3) Prejudicial evaluation
- (4) Capricious evaluation

Mediation Procedures

6.1.2 Violations of Student Code of Conduct - the Disciplinary Review Board

Section A: Before resorting to the Disciplinary Review, students shall have the option of having the complaint resolved through mediation. In all incidents, except those involving violence, if both parties agree to resolve the complaint through mediation, the President (Accountable Manager) will make arrangements for the mediation to occur. The nature of some complaints, especially those involving violence, may make mediation an unrealistic option. When violence is involved, the President (Accountable Manager) must concur in the decision to use mediation.

Section B: Mediation is a voluntary process which may or may not result in a mediated agreement. When a mediated agreement is reached, the case is resolved and parties are encouraged to use the President (Accountable Manager) or designee as a resource for future questions. Mediated agreements may not be appealed.

Section C: If the parties involved in the dispute do not choose mediation, if the mediator reports a failed mediation, or if the nature of the complaint makes mediation unrealistic, the dispute will be resolved through the disciplinary review board.

Complaint Procedures

Section A: A student may initiate formal complaint procedures by filing a Student Compliant Form with the President (Accountable Manager) within a period of seven (7) working days following the date that the complaint procedures were concluded as outlined above.

Section B: At any point in these formal grievance proceedings the Complainant may move to withdraw the grievance or accept an informal solution.

Disciplinary Review Board

Section A: The Disciplinary Review Board shall be composed of up to seven persons: the Presiding Officer, two full-time faculty members, two full-time students, and two part-time faculty members.

Section B: The Presiding Officer shall be the President (Accountable Manager) or designee. He/she shall be responsible for ensuring that all procedures are followed in the seating of the Review Board and in the conduct of its hearings and deliberations. The Presiding Officer shall vote only in case of a tie. The Presiding Officer shall insure that all participants in each hearing are officially

6.1.2 Violations of Student Code of Conduct - the Disciplinary Review Board

notified of the confidential nature of the hearing and all information and data presented therein.

Section C: The Disciplinary Review Board shall not be a standing committee. At the beginning of each academic term, the Presiding Officer shall select two names from the pool of currently enrolled full-time students two names from the pool of full-time faculty, and two names from the pool of full-time student-service professional staff. University policy regarding definitions of full-time faculty, staff members, administrators, and students shall apply. Upon selection, if a faculty, staff, or student declines to serve, another name shall be drawn in their place. Once the position is accepted, it will be for the duration of the academic term.

Section D: After the regular Board members are selected, alternates shall be drawn using the same method. Two full-time faculty, two full-time student-service professional staff, and two full-time students shall be selected as alternates.

Section E: Any board member, other than the Presiding Officer, may be permanently replaced with an alternate during the academic term.

- (1) If faculty or staff – are no longer employed by NTPS.
- (2) If a student – are no longer enrolled full-time or if placed on academic probation in any quarter during the academic year of service.
- (3) If absent from any scheduled meeting of the Disciplinary Review Board, in which member notification and availability were confirmed, then the Presiding Office may permanently remove that member from the board at his/her discretion.

Section F: If a board member is replaced with an alternate, then the Presiding Officer shall immediately draw another name from the appropriate pool to fill the vacant alternate position.

Section G: A quorum shall consist of all current members of the Disciplinary Review Board, excluding alternates.

Section H: All hearings shall be closed. The Complainant and the Respondent shall each have the right to have an advisor present as a non-participant observer at the hearings. Attendance shall be limited to the Grievant, the Respondent, advisors, witnesses, if any, while giving evidence, and the Review Board.

6.1.2 Violations of Student Code of Conduct - the Disciplinary Review Board

Since this is not a legal action and the grievant has ultimate legal recourse, attorneys shall be excluded.

Section I: Formal disciplinary hearings shall not be held during the Summer or Christmas breaks unless Grievant, Respondent, entire Board, and witness agree. Every effort shall be made to resolve the grievance within the term filed.

Section J: The Presiding Officer shall inform (via writing or email) all parties to the grievance of the time, date, and location of the hearing, names of the presiding board members, as well decisions on other matters that may affect the hearing.

Section K: Both the Complainant and the Respondent then have two working days after the date of notice of presiding board members in which they may each request to the Presiding Officer up to one board member be temporarily replaced with an alternate due to cause. The Presiding Officer shall immediately grant or deny such requests, and these decisions shall be final for all purposes. Those temporarily excused for cause shall regain their positions once the Review Board's proceedings for that specific grievance have concluded.

Section L: The Board shall normally convene within fourteen (14) working days from notice of grievance. The Presiding Officer shall be responsible for meeting with the Board at an appropriate time before the beginning of the hearing to familiarize the members with the procedures.

Section M: The content of the proceedings in a grievance hearing is confidential, and the Board recommendations resulting therefrom shall not be made public by any participant in the hearings. In the event these matters should become public, such public statements, as are appropriate, may be made by the University. This policy of confidentiality shall not preclude such discussion of the case by the opposing parties as may be necessary to prepare for the hearings.

Section N: Subject to Section O below, both the Complainant and the Respondent may offer evidence and call witnesses, with the Complainant doing so first.

Section O: Within the guidelines established by these procedures, and subject to overrule by a majority of Board members, the Presiding Officer may establish necessary rules for the conduct of the hearing, including decisions involving procedural issues.

6.1.2 Violations of Student Code of Conduct - the Disciplinary Review Board

- Section P: Any relevant evidence shall be admitted, and the Presiding Officer shall have the discretion to rule out evidence if in his/her judgment such evidence is essentially repetitious or irrelevant.
- Section Q: During the course of the proceedings the Complainant and the Respondent shall not discuss the case with members of the Review Board outside the hearings. If, in the judgment of the Board, either Complainant or Respondent has harassed or attempted to intimidate the other or any Board member, the Board may initiate further disciplinary procedures.
- Section R: Both parties may make an opening statement. The Complainant has the burden of proof and shall demonstrate by a preponderance of evidence that he/she was directly wronged by the action that gave rise to the Grievance. After the opening statements, both parties shall answer questions the Board may have regarding the case. Both parties may then question each other, as well as all witnesses. Any documents submitted as evidence shall be made available by the Presiding Officer to both parties.
- Section S: The Complainant or Respondent may sign a waiver allowing the Board to have access to confidential information pertinent to the case. However, the rights of privacy of third parties (such as other students in the course who are not involved in the case, or other faculty who may teach similar courses) shall be respected.
- Section T: The Complainant and Respondent may request information from each other concerning the case.
- Section U: The Board shall not have access to nor consider records of testimony about the previous use of sanctions by the Respondent nor previous instances of grievances.
- Section V: A tape recording of the hearing shall be kept and filed in the competent Office of the Ombudsman and shall be retained for two calendar years, and then shall be erased. The tape recording is to remain confidential.
- Section W: Each party may present a closing statement with the Respondent going first. Any closing statements shall be limited to the evidence presented. There shall be no questioning of the parties during or after the closing statements.

Disciplinary Review Board Decisions

6.1.2 Violations of Student Code of Conduct - the Disciplinary Review Board

Section A: The decision of the Board must be consistent with school policy. The Presiding Officer shall notify the Complainant, Respondent, and the appropriate administrator of the Board's finding in writing.

Section B Sanctions are designed to promote the School's educational mission. Sanctions may also serve to promote safety or to deter students from behavior which harms, harasses, or threatens people or property. Some behavior is so harmful to the School community or so deleterious to the educational process that it may require more serious sanctions. One or more of the following sanctions may be recommended:

Formal Reprimand:

A formal notice that the Statement has been violated and that future violations will be dealt with more severely.

Disciplinary Probation:

A designated period of time during which the student is not in good standing with the School. The terms of probation may involve restrictions of student privileges and/or set specific behavioral expectations.

Removal from Specific Courses or Activities:

Suspension or transfer from courses or activities at the School for a specified period.

No Contact:

Restriction from entering specific School areas and/or all forms of contact with certain person(s).

Restitution:

Compensation for loss, damage, or injury to the appropriate party in the form of service, money, or material replacement.

Suspension:

Separation from the School for a specified period of time or until certain conditions are met are the guidelines for suspension.

6.1.2 Violations of Student Code of Conduct - the Disciplinary Review Board

Expulsion:

Permanent separation from the School.

Emergency Suspension

If a student's actions pose an immediate danger to any member of the School community, the President (Accountable Manager) or designee may immediately suspend the student pending a meeting. Except in extraordinary circumstances that meeting shall be scheduled within two academic calendar days. At this meeting, the student will be informed of the nature of the alleged violation, presented with available evidence, and given the opportunity to make a statement and present evidence. If the emergency suspension is continued, the student will be offered an arbitration option within ten academic calendar days.

Section C: All Disciplinary Review Board decisions will result in a recommendation(s) to the CAO, who may accept or modify the recommendation(s). The CAO may not modify a sanction to include suspension or expulsion. However, when expulsion is recommended, the President (Accountable Manager) may instead suspend the student.

Appeals

Section A: Appeal the finding of the Disciplinary Review Board are permitted, the party wishing to appeal the finding of the Disciplinary Review Board must deliver a written appeal to the Presiding Officer, with copies to the opposing party. This appeal shall be delivered to the Presiding Officer within fourteen (14) working days from the date of the receipt of the finding of the Disciplinary Review Board.

Section B: The only grounds for appeal are:

- (1) Substantial departure from the procedures established in this document so as to seriously prejudice the outcome of the hearing;
- (2) Prejudicial treatment by the Disciplinary Review Board.
- (3) the evidence clearly does not support the finding(s),
- (4) sanctions are insufficient or excessive relative to the violation, or
- (5) there is new evidence not reasonably available at the time of the review.

Section C: The appeal document shall specify the following:

6.1.2 Violations of Student Code of Conduct - the Disciplinary Review Board

- (1) That it is an appeal:
- (2) The name and current address and telephone number of the person making the appeal:
- (3) The reasons for the appeal and the facts supporting those reasons.

Section D: The Presiding Officer may bring final resolution to the grievance by electing to reject the appeal based on lack of evidence. The Presiding Officer's decision to reject the appeal shall be final for all purposes.

Grounds for Disciplinary Action

Section A: Students and faculty are subject to disciplinary action if they knowingly make false statements or act in any other way with malicious intent within the provisions of this document.

Section B: The Presiding Officer of the Review Board shall immediately bring all such cases before the disciplinary board for review.

Procedures for Reporting

Section A: At the end of the spring semester the Presiding Officer of the Disciplinary Review Board shall report to the faculty at the summer stand down meeting, the number of cases heard and the disposition of each case.

Procedures for Revision

Section A: These procedures are subject to change by majority vote of the full-time faculty.

Records of Resolution Actions

Section A: Records will be maintained by the academic office with regard to any and all actions taken under the Statement. Accordingly, records will be maintained by the Ombudsman of complaints, mediations, arbitrations, findings, and sanctions. Confidentiality of records will be maintained to the extent permitted by law and *Policy 6.2.6 - Student Records*. If a student is suspended or expelled, a notation will be made on the student's academic record. The notation of suspension will be removed at the time the student is readmitted to the School.

6.1.2 Violations of Student Code of Conduct - the Disciplinary Review Board

References

Cross References

Student Handbook Chapter
Policy 6.2.6 - Student Records

6.1.3 Academic Appeals Procedures

Purpose

The National Test Pilot School is committed to ensuring that students who have legitimate concerns regarding decisions or actions of faculty, academic administrators or staff have an adequate forum to resolve their grievances. This policy provides the framework and process to resolve grievances and complaints.

Applicability

All students

Policy

The policy and procedures specified herein deal only with individual student complaints and/or grievances against the actions and/or decisions of faculty, academic administrators, or staff professionals. The complaints and/or grievances may concern but are not restricted to

- (1) an assigned course grade,
- (2) administration of records,
- (3) admission to a program,
- (4) abuse of professional responsibility, or
- (5) requirements for program completion.

Procedures for redress of grievances must protect the respondent against unsubstantiated and false charges of bias or unfairness. Therefore, in a grievance there is a presumption that procedures have been fairly followed. It is the responsibility of the grievant to demonstrate otherwise. The final responsibility for assigning or changing a student's record rests solely with the grievance review board.

Definitions

Section A:

- 1) "Complaint" is defined as any unwritten dispute arising with a student under the terms of the General Provisions. A Complaint may be any point of issue between a student and faculty, academic administrator, or staff professional, in which a student feels an abridgement of academic rights or benefits has occurred.
- 2) "Grievance" is defined as a written dispute arising with a student under terms of the General Provisions. A Grievance is a difference, presented in writing, that may arise

6.1.3 Academic Appeals Procedures

between a student and faculty, academic administrator, or staff professional, with respect to, but not necessarily limited to:

- a) Violation of established academic policies and regulations: defined as those policies and regulations outlined in the respondent's course syllabus, the School's current Catalog, and/or the School's current Class Schedule. (e.g., examination policies, advisement policies, registration procedures, etc.) The violation must have resulted in a direct and adverse impact on the Grievant's student record.
 - b) Clerical error: means an error made by the faculty, academic administrator, or staff professional, in reviewing, estimating, evaluating, or posting student records.
 - c) Prejudicial evaluation: For prejudicial evaluation to be present, the faculty, academic administrator, or staff professional must have applied a different standard to the Grievant than applied to other students in the same situation. Also, the action must have adversely impacted the Grievant's student record.
 - d) Capricious evaluation: For capricious evaluation to be present, the faculty, academic administrator, or staff professional must have changed the standards of evaluation during the academic term. Since changes in evaluation standards can and do occur during an academic term, the change must have occurred abruptly and without apparent reason (e.g., two day after the mid-term examination and without prior discussion, the faculty member declares there will be a series of short quizzes). Finally, for capricious evaluation to be present, the Grievant has to show that the change had a direct, singular, and adverse impact on the Grievant's student record.
- 3) "Grievant" is defined as the individual lodging the complaint and/or grievance.
 - 4) "Respondent" is defined as the faculty, academic administrator, or staff professional most directly responsible for the alleged action(s) and/or decision(s) resulting in the complaint and/or grievance.
 - 5) "Academic Term" is defined as six-month period beginning after the summer or Christmas break.
 - 6) An Ombudsman is an individual appointed on a yearly basis by the school. This individual will be familiar with the procedures outlined herein and shall counsel students on their rights under these procedures and as required by the student, participate in the process for purposes of giving counsel on their rights under these procedures.

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Section B: It is the desire of the school that any Grievance be handled in a timely manner. The Grievance procedures must adhere to the time deadlines stated in the grievance procedures.

Section C: This document is not intended to inhibit the resolution of a problem in any satisfactory informal way.

Section D: At any point in these grievance proceedings the Grievant may move to withdraw the Grievance or accept a solution.

Section E: The Ombudsman may be consulted by the Grievant at the earliest opportunity. Deadlines may be extended at the request of the Ombudsman to the CAO (e.g., if the Grievant is in a course of the respondent the following academic term, an extension may be granted).

Section F: The school has a strict policy of zero tolerance of actual or implied violence. If at any time a Grievant engages in harassment or intimidation, the grievance will immediately become a disciplinary matter to be dealt with by airport security.

General Provisions

Section A: Complaints and/or Grievances may be brought against the actions and/or decisions of faculty, administrators, staff in admissions, records, financial aid, counseling, placement or other student service offices for failure to adhere to written campus policies or for procedures or actions that constitute arbitrary, capricious, or unequal application of those procedures.

Section B: A complaint and/or grievance may be initiated on the basis of a claim of: (refer to Definition section for definitions)

- (1) Violation of established academic policies and regulations
- (2) Clerical error
- (3) Prejudicial evaluation
- (4) Capricious evaluation

Complaint Procedures

Section A: Before resorting to grievance, a student shall exhaust all complaint procedures herein at the faculty advisor. Grievance procedure, as outlined in

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this policy, should not be invoked until the complaint has been thoroughly addressed at the faculty advisor level.

Section B: The student shall first address the complaint to the concerned faculty, academic administrator, or staff professional most directly responsible for the alleged action(s) and/or decision(s) resulting in the complaint. If the complaint cannot be resolved by the student and faculty, academic administrator, or staff professional, the student should meet with the faculty advisor to discuss their complaint.

Section C: If the student and the faculty advisor cannot resolve the complaint the student should meet with CAO to discuss their complaint. If the complaint is still unresolved after this point, the student may then, and only then, file a written grievance as outlined in V.

Grievance Procedures

Section A: Before a student may invoke the grievance procedures specified herein, they shall first exhaust all complaint procedures as outlined above.

Section B: A student may initiate formal grievance procedures by filing a Student Grievance Form with the CAO within a period of seven (7) working days following the date that the complaint procedures were concluded as outlined above.

Section C: Upon receiving a written notice of grievance, the CAO shall inform the Presiding Officer of the Grievance Review Board, the Ombudsman, and the Deputy Director, of the grievance. The Grievance Review Board Presiding Officer shall verify that the student has complied with all complaint procedures outlined above.

Section D: At any point in these formal grievance proceedings the Grievant may move to withdraw the grievance or accept an informal solution.

Grievance Review Board

Section A: Be it that grievances may encompass both academic and non-academic issues, the Grievance Review Board shall be composed of seven persons: the Presiding Officer, two full-time faculty members, two full-time students, and two part-time faculty members.

6.1.3 Academic Appeals Procedures

Section B: The Presiding Officer shall be the CAO or his/her designee. He/she shall be responsible for ensuring that all procedures are followed in the seating of the Review Board and in the conduct of its hearings and deliberations. The Presiding Officer shall vote only in case of a tie. The Presiding Officer shall also insure that all participants in each hearing are officially notified of the confidential nature of the hearing and all information and data presented therein.

Section C: The Grievance Review Board shall not be a standing committee. At the beginning of each academic term, the Presiding Officer shall select two names from the pool of currently enrolled full-time students two names from the pool of full-time faculty, and two names from the pool of full-time student-service professional staff. School policy regarding definitions of full-time faculty, staff members, administrators, and students shall apply. Upon selection, if a faculty, staff, or student declines to serve, another name shall be drawn in their place. Once the position is accepted, it will be for the duration of the academic term.

Section D: After the regular Board members are selected, alternates shall be drawn using the same method. Two full-time faculty, two full-time student-service professional staff, and two full-time students shall be selected as alternates.

Section E: Any board member, other than the Presiding Officer, may be permanently replace with an alternate during the academic term.

- (1) If faculty or staff – are no longer employed by NFTI.
- (2) If a student – are no longer enrolled full-time or if placed on academic probation in any quarter during the academic year of service.
- (3) If absent from any scheduled meeting of the Grievance Review Board, in which member notification and availability were confirmed, then the Presiding Office may permanently remove that member from the board at his/her discretion.
- (4) If deemed to be exhibiting inappropriate behavior via a consensus vote of all remaining members of the board.

Section F: If a board member is replaced with an alternate, then the Presiding Officer shall immediately draw another name from the appropriate pool to fill the vacant alternate position.

6.1.3 Academic Appeals Procedures

- Section G: A quorum shall consist of all current members of the Grievance Review Board, excluding alternates.
- Section H: All hearings shall be closed. The Grievant and the Respondent shall each have the right to have the Ombudsman present as a non-participant observer at the hearings. Attendance shall be limited to the Grievant, the Respondent, the Ombudsman, witnesses, if any, while giving evidence, and the Review Board. Since this is not a legal action and the grievant has ultimate legal recourse, attorneys shall be excluded.
- Section I: Formal grievance hearing shall not be held during the Summer or Christmas breaks unless Grievant, Respondent, entire Board, and witness agree. Every effort shall be made to resolve the grievance within the term filed.
- Section J: The Presiding Officer shall inform (via writing or email) all parties to the grievance of the time, date, and location of the hearing, names of the presiding board members, as well decisions on other matters that may affect the hearing.
- Section K: Both the Grievant and the Respondent then have two working days after the date of notice of presiding board members in which they may each request to the Presiding Officer up to one board member be temporarily replaced with an alternate due to cause. The Presiding Officer shall immediately grant or deny such requests, and these decisions shall be final for all purposes. Those temporarily excused for cause shall regain their positions once the Review Board's proceedings for that specific grievance have concluded.
- Section L: The Board shall normally convene within fourteen (14) working days from notice of grievance. The Presiding Officer shall be responsible for meeting with the Board at an appropriate time before the beginning of the hearing to familiarize the members with the procedures.
- Section M: The content of the proceedings in a grievance hearing is confidential, and the Board recommendations resulting therefrom shall not be made public by any participant in the hearings. In the event these matters should become public, such public statements, as are appropriate, may be made by the School. This policy of confidentiality shall not preclude such discussion of the case by the opposing parties as may be necessary to prepare for the hearings.

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- Section N: Subject to Section O below, both the Grievant and the Respondent may offer evidence and call witnesses, with the Grievant doing so first.
- Section O: Within the guidelines established by these procedures, and subject to overrule by a majority of Board members, the Presiding Officer may establish necessary rules for the conduct of the hearing, including decisions involving procedural issues.
- Section P: Any relevant evidence shall be admitted, and the Presiding Officer shall have the discretion to rule out evidence if in his/her judgment such evidence is essentially repetitious or irrelevant.
- Section Q: During the course of the proceedings the Grievant and the Respondent shall not discuss the case with members of the Review Board outside the hearings. If, in the judgment of the Board either Grievant or Respondent has harassed or attempted to intimidate the other or any Board member, the Board may initiate disciplinary procedures. (See II below)
- Section R: Both parties may make an opening statement. The Grievant has the burden of proof and shall demonstrate by a preponderance of evidence that he/she was directly wronged by the action that gave rise to the Grievance. After the opening statements, both parties shall answer questions the Board may have regarding the case. Both parties may then question each other, as well as all witnesses. Any documents submitted as evidence shall be made available by the Presiding Officer to both parties.
- Section S: The Grievant or Respondent may sign a waiver allowing the Board to have access to confidential information pertinent to the case. However, the rights of privacy of third parties (such as other students in the course who are not involved in the case, or other faculty who may teach similar courses) shall be respected.
- Section T: The Grievant and Respondent may request information from each other concerning the case. The Grievant, for example, may request a class list with student names and an overall grade distribution, but in no circumstance will the grades given to specific students in the course, or student identification numbers, be released without their written permission.

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Section U: The Board shall not have access to nor consider records of testimony about the previous use of sanctions by the Respondent nor previous instances of grievances.

Section V: A tape recording of the hearing shall be kept and filed in the Office of the CAO. It shall be retained for two calendar years, and then shall be erased. The tape recording is to remain confidential.

Section W: Each party may present a closing statement with the Respondent going first. Any closing statements shall be limited to the evidence presented. There shall be no questioning of the parties during or after the closing statements.

Grievance Review Board Decisions & Ad Hoc Assessment Committee

Section A: The decision of the Board must be consistent with school policy. The Presiding Officer shall notify the Grievant, Respondent, and the appropriate administrator of the Board's finding in writing.

Section B: If the Board found that a legitimate grievance has occurred, the Presiding Officer shall request the Respondent to reconsider the grieved action in light of the Board's finding. If the Respondent agrees, he/she shall make the appropriate corrective action within seven (7) working days after notification of the Board's finding.

Section C: If the Board recommends the change but the Respondent refuses, the Presiding Officer shall convene an ad hoc Assessment Committee composed of two faculty or two staff members whose field of expertise is appropriate for suitable evaluation. The Presiding Officer shall be a non-voting member of the Assessment Committee. The Presiding Officer shall inform the Respondent of the decision reached by the Assessment Committee.

Section D: If the Respondent refuses to comply with the decision of the Assessment Committee, he/she shall notify the Presiding Officer within seven (7) working days after receiving notice of the committee's decision.

Section E: In the event the Respondent refuses to comply with the decision of the Assessment Committee, the Presiding Officer shall refer the matter to the CAO for final resolution.

Appeals

6.1.3 Academic Appeals Procedures

Section A: Either the Grievant or the Respondent may appeal the finding of the Grievance Review Board, but the Respondent may not appeal the decision of the Assessment Committee. The party wishing to appeal the finding of the Grievance Review Board must deliver a written appeal to the Presiding Officer, with copies to the opposing party. This appeal shall be delivered to the Presiding Officer within fourteen (14) working days from the date of the receipt of the finding of the Grievance Review Board.

Section B: The only grounds for appeal are:

- (1) Substantial departure from the procedures established in this document so as to seriously prejudice the outcome of the hearing;
- (2) Prejudicial treatment by the Grievance Review Board.

Section C: The appeal document shall specify the following:

- (1) That it is an appeal;
- (2) The name and current address and telephone number of the person making the appeal;
- (3) The reasons for the appeal and the facts supporting those reasons.

Section D: The Presiding Officer may bring final resolution to the grievance by either electing to reject the appeal based on lack of evidence, or by referring the matter to the CAO. The Presiding Officer's decision to either reject, or refer, the appeal shall be final for all purposes. If referred, the CAO decision shall be final.

Grounds for Disciplinary Action

Section A: Students and faculty are subject to disciplinary action if they knowingly make false statements or act in any other way with malicious intent within the provisions of this document.

Section B: The Presiding Officer of the Review Board shall immediately bring all such cases before the appropriate disciplinary bodies for review.

Procedures for Reporting

Section A: At the end of the spring semester the Presiding Officer of the Grievance Review Board shall report to the faculty at the summer stand down meeting, the number of cases heard and the disposition of each case.

6.1.3 Academic Appeals Procedures
<i>Procedures for Revision</i> Section A: These procedures are subject to change by majority vote of the full-time faculty.
References
Cross References Student Handbook

6.1.4 Complaint and Grievance Procedures
<p data-bbox="219 256 324 289">Purpose</p> <p data-bbox="219 323 1006 357">To provide a process to address student issues with the school</p>
<p data-bbox="219 415 389 449">Applicability</p> <p data-bbox="219 478 901 512">Full Time and Master's Students (Non-Short Course)</p>
<p data-bbox="219 571 300 604">Policy</p> <p data-bbox="219 638 430 672">I. Procedures</p> <p data-bbox="219 705 1388 1033">The School will use the following procedures to respond to behavior which goes against the values of the School community as defined in this Statement. The School considers the procedures for resolving disputes a part of its educational mission and is committed to a process which provides both peer review and mediation. Persons who have questions about the Statement should contact the Course Coordinator (CC). Resolution and appeal processes are administrative functions and are not subject to the same rules of civil or criminal proceedings. Because some violations of these standards are also violations of law, students may be accountable to both the legal system and the School.</p> <p data-bbox="316 1066 852 1100"><i>Stage 1: Initiating the Resolution Process</i></p> <p data-bbox="316 1134 1388 1461">Any student, faculty member, or staff member may submit a complaint alleging a violation of the Statement. A student, faculty member, or staff member may also submit a complaint based upon information reported to that person. All complaints must be submitted to the (CC), in writing, within one month after the incident(s) alleged in the complaint. The CC may waive the one-month limitation when a late submission is reasonable. If the CC determines, based on an investigation, that the alleged behavior may be a violation of the Statement, the CC will notify the accused student and schedule a meeting as described below.</p> <p data-bbox="316 1495 673 1528"><i>Stage 2: Resolution Process</i></p> <p data-bbox="316 1562 1388 1806">The CC will meet with the accused student to explain the complaint and the resolution process. The student will have the opportunity to ask questions and make a statement. The student may be accompanied by an advisor. In all incidents, except those involving violence, if both parties agree to resolve the complaint through mediation, the CC will make arrangements for the mediation to occur. The nature of some complaints, especially those involving violence, may make mediation an</p>

6.1.4 Complaint and Grievance Procedures

unrealistic option. When violence is involved, the CC must concur in the decision to use mediation.

The school mediator will be the President (Accountable Manager). Mediation is a voluntary process which may or may not result in a mediated agreement. When a mediated agreement is reached, the case is resolved, and parties are encouraged to use the CC as a resource for future questions. Mediated agreements may not be appealed.

Stage 3: Appealing the Resolution Process

An appeals process is an essential safeguard for an imperfect human process that attempts very hard to be fair. The appeal process is available to each party. Appeals may be filed for the following reasons:

- proper procedures were not followed,
- the evidence clearly does not support the finding(s),
- sanctions are insufficient or excessive relative to the violation, or
- there is new evidence not reasonably available at the time of the arbitration.

All appeals must be submitted in writing to the CC within 10 academic calendar days of the mediation outcome. The President (Accountable Manager) will appoint the members to the Appeals Board.

The Appeals Board will recommend one of the following actions:

- confirming the decision made through the mediation process,
- altering the sanction(s)

II. Sanctions

Sanctions are designed to promote the School's educational mission. Sanctions may also serve to promote safety or to deter students from behavior which harms, harasses, or threatens people or property. Some behavior is so harmful to the School community or so deleterious to the educational process that it may require more serious sanctions. One or more of the following sanctions may be recommended:

Formal Reprimand:

A formal notice that the Statement has been violated and that future violations will be dealt with more severely.

Disciplinary Probation:

6.1.4 Complaint and Grievance Procedures

A designated period of time during which the student is not in good standing with the School. The terms of probation may involve restrictions of student privileges and/or set specific behavioral expectations.

Removal from Specific Courses or Activities:

Suspension or transfer from courses or activities at the School for a specified period of time.

No Contact:

Restriction from entering specific School areas and/or all forms of contact with certain person(s).

Restitution:

Compensation for loss, damage, or injury to the appropriate party in the form of service, money, or material replacement.

Suspension:

Separation from the School for a specified period of time or until certain conditions are met.

Expulsion:

Permanent separation from the School.

III. Records of Actions

Records will be maintained by the school's academic department with regard to any and all actions taken under the Statement. Accordingly, records will be maintained by the academic department of complaints, mediations, findings, and sanctions. If a student is suspended or expelled, a notation will be made on the student's academic record. The notation of suspension will be removed at the time the student is readmitted to the School.

6.2 Student Affairs

6.2.1 Student Advisor Program
<p>Purpose</p> <p>To ensure the effectiveness of NTPS teaching an academic advisor program is available to students.</p>
<p>Applicability</p> <p>All students</p>
<p>Policy</p> <p>An Academic Advisor program is available to assist students who for any reason need assistance in achieving the course objectives or who are having difficulties with academic work. The initial consultation will be with the CAO and thereafter the relevant Chief of Academics. The academic advisor for Graduate Assistants is the Director NFTI.</p> <p>The advisor for fixed-wing students is the Fixed Wing Chief of Academics and the advisor for Professional rotary-wing students is the Rotary Wing Chief of Academics, and the advisor for Systems students is the Chief of Academics of Systems. In addition, each course module at NTPS has an assigned staff member who is responsible for its overall conduct and who is available to advise and counsel students regarding course particulars. Students are free to call on these advisors whenever assistance or discussion is needed.</p> <p>A student who feels they would benefit from the appointment of an individual student advisor should contact their relevant graduate advisor. Should a faculty member consider that the support of a student advisor would assist the student, they should in the first instance approach the student. The relevant graduate advisor will appoint a faculty member to be the student advisor.</p>
<p>References</p>
<p>Cross References</p>

6.2.2 Student Guidance Services
<p>Purpose</p> <p>Attending NTPS, particularly long courses, is a significant adjustment for students, their spouse and family. NTPS is committed to assisting students and their families during their time attending NTPS.</p>
<p>Applicability</p> <p>All students</p>
<p>Policy</p> <p>A student’s services representative will be employed by NTPS to assist incoming and current students and their families for the duration of the student’s enrollment. The students’ services representative will meet with all incoming long course students (18 weeks or longer) prior to the commencement of the course to discuss any issues or concerns the student or student’s family may have. The student services representative is available to the student and the student’s family for the duration of the course.</p> <p>The student services representative can assist with a range of matters including:</p> <ul style="list-style-type: none"> • Housing issues • Childcare options • Information on local schools • Information on local health care providers • Assistance with shopping • Assistance with English skills <p>The student services representative will also organize social events (picnics, lunches, excursions) for families.</p>
<p>References</p>
<p>Cross References</p>

6.2.3 Financial Aid
<p data-bbox="219 256 324 289">Purpose</p> <p data-bbox="219 323 1315 357">This policy sets out the guidelines required for students to obtain federal financial aid.</p>
<p data-bbox="219 417 389 451">Applicability</p> <p data-bbox="219 485 1388 602">Not currently applicable. NTPS is not registered to provide financial aid Title IV funds. If and when NTPS becomes registered to provide Title IV funds students will be eligible to apply for federal funding under the following guidelines.</p>
<p data-bbox="219 655 300 688">Policy</p> <p data-bbox="219 722 1388 798">NTPS does not currently have any eligible programs; therefore, students are not able to apply for Title IV financial aid.</p> <p data-bbox="219 831 560 865"><i>Federal Aid Requirements</i></p> <p data-bbox="219 898 1388 974">To receive aid from any of the federal student aid programs discussed in this publication, students must meet all of the following criteria:</p> <ul data-bbox="267 1008 1388 1654" style="list-style-type: none"> • Have financial need, except for some loan programs; • Have a high school diploma or a General Education Development (GED) Certificate, pass a test approved by the U.S. Department of Education, meet other standards the students home state establishes that are approved by the U.S. Department of Education, or complete a high school education in a home school setting that is treated as a home school or private school under state law. • Be enrolled or accepted for enrollment as a regular student working toward a degree or certificate in an eligible program; • Be a U.S. citizen or eligible non-citizen; • Have a valid Social Security Number; • Meet satisfactory academic progress standards set by the School; • Certify that the federal student aid will be used only for educational purposes. • Certify that the student is not in default on a federal student loan and does not owe money on a federal student grant. • Register with the Selective Service, if required <p data-bbox="219 1688 1388 1806">The law suspends aid eligibility for students convicted under federal or state law of sale or possession of illegal drugs. The period of ineligibility for each student continues until the eligibility date arrives or the student completes an acceptable drug rehabilitation program.</p>

6.2.3 Financial Aid

When students apply for aid from the SFA programs, the U. S. Department of Education may verify information with the following federal agencies:

- Social Security Administration (for verification of Social Security Numbers and U.S. citizenship status),
- Selective Service System (for verification of Selective Service registration status, if applicable),
- U.S. Immigration and Naturalization Service (for verification of eligible non-citizenship status, if applicable),
- U.S. Department of Justice (for verification that an applicant has not been denied federal student aid by the courts as the result of a drug-related conviction),
- U.S. Department of Veterans Affairs (for verification of veteran status, if applicable)

References

Cross References

6.2.4 Religious/ Academic Conflicts

Purpose

It is the policy of NTPS to make every reasonable effort to allow members of the School's community to observe their religious holidays without academic penalty.

Applicability

All students

Policy

Students of NTPS come from diverse cultural and religious backgrounds and NTPS encourages and respects this diversity. The School is committed to ensuring that where reasonably possible, members of the School community are able to observe religious holidays or other customs without penalty

Students who wish to observe religious holidays or other religious customs should provide faculty with reasonable notice of the relevant dates and any other requirements (e.g. access to a prayer room) so that efforts can be made to arrange alternative opportunities to complete academic responsibilities. It is the obligation of student to provide faculty with reasonable notice of the dates on which they will be absent. Absence from classes or examination for religious reasons does not relieve students from responsibility for any part of the course work required during the period of absence. Students who expect to miss classes, examinations, or other assignments as a consequence of their religious observance shall be provided with a reasonable alternative opportunity to complete such academic responsibilities and to make up the work, without penalty, unless it can be demonstrated that a makeup opportunity would constitute an unreasonable burden on the faculty.

Should disagreement arise over what constitutes an unreasonable burden or any aspect of this policy, parties involved should contact the HT.

References

Cross References

6.2.5 School/Employer Conflicts
<p>Purpose</p> <p>The majority of students attending NTPS are sponsored by their employer. This policy recognizes the potential that conflicts may arise between the policy of the school and the obligations of the student in their role as an employee.</p>
<p>Applicability</p> <p>All students</p>
<p>Policy</p> <p>In the rare occurrence that a student feels that a conflict has arisen between their obligation as a student of NTPS and their obligation as an employee of their sponsoring organization, the student should immediately bring the conflict to the attention of the President & (Accountable Manager) of NTPS.</p> <p>The President (Accountable Manager) will, where necessary contact the sponsoring organization to ensure an appropriate resolution to the conflict.</p>
<p>References</p>
<p>Cross References</p>

6.2.6 Student Records

Purpose

In carrying out its assigned responsibilities, the National Test Pilot School collects and maintains information about students. Although these records belong to the School, both School policy and federal law accord students a number of rights concerning these records. The NTPS policy is designed to inform students where records about students may be kept and maintained, what kinds of information are in those records, the conditions under which students or anyone else may have access to information in those records, and what action to take if students believe that the information in their record is inaccurate or that their rights have been compromised.

Applicability

All students

Policy

Types of Records and Where They Are Located

The following information will be kept and maintained by the Office of the Registrar:

- Academic progress,
- Admissions application,
 - test scores,
 - letters of recommendation,
 - copy of academic record,
 - notes (if any) made by academic counselors,
 - information about honors awarded and/or academic discipline imposed, and similar items, and
 - flying qualifications
- Enrollment (registration),
- Official school academic record, and
- Charges assessed and payments made to the student's account.
- Records are held in the administration office.

Upon graduation, students are provided with a transcript of their academic records.

The original records (physical copies) are archived by NTPS for 5 years. Any electronic copies of records will be kept for a minimum of 5 years.

6.2.6 Student Records

Electronic copies of transcripts are kept indefinitely, and additional transcripts may be requested from the NTPS Admissions Office.

The following information will be kept and maintained by the Chief Academic Officer:

- Copies of all grade sheets,
- Copies of student reports,
- Copies of student examinations,
- Copies of Capstone Projects.

Copies of student reports and examinations of students enrolled in EASA approved courses will be archived by NTPS for 5 years.

Electronic copies of student grades will be kept for a minimum of 5 years.

Capstone Project Reports (test plan, report & presentation) will be kept for 6 years to coincide with ABET audits).

Student Rights

The National Test Pilot School respects the rights and privacy of students in accordance with the Family Rights and Privacy Act (FERPA).

Once students attend the school, students have the following rights concerning their student records:

- 1) The right to inspect and review all material in their file(s) except:
 - a) Professional mental health treatment records to the extent necessary, in the judgment of the attending physician or professional counselor, to avoid detrimental effects to the mental health of the student or of others. These records may, however, be reviewed by a physician or other appropriate professional of their choice;
 - b) Financial information furnished by their parents in support of an application for financial aid;
 - c) Confidential letters of recommendation concerning admission, employment, or honorary recognition, for which students have waived access. (The School may not require students
 - d) to sign a waiver in order to obtain services, but a person writing a recommendation may insist on a waiver as a condition for his or her writing it.);
 - e) Personal notes made by a faculty member or counselor that are accessible only to that person and are not shared with others; and

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- f) Materials in any admissions files, until students have been admitted to, and have attended NTPS.

The School requires students to file a written request if students wish to review their records. A response is required within 45 days from the date of the initial request, however in most instances students can expect a response within several days. Also, once students have submitted such a request, no non-exempt material may be removed from the file in question until the matter is resolved.

NOTE: Federal law requires that an institution make copies of materials available to a student only if the failure to do so effectively prevents the student from reviewing his or her file (for example, if students were at some distance from Mojave and could not readily come to the campus). The School, however, will provide copies if students need them. Students will probably have to wait several days for the copies and students will be charged not more than twenty-five cents per page plus any postage involved.

- 2) The right to a hearing if students feel that:
 - a) They have been improperly denied access to their records,
 - b) Their records contain information that is inaccurate or misleading, or
 - c) Information from their records has been improperly released to third parties.
- 3) The use of that procedure will result in one of the following:
 - a) If the relevant officer involved agrees with their contention, he or she will see to it that the necessary corrective action is taken.
 - b) If the relevant officer does not agree with their contention, students may lodge a complaint under the Student Complaint and Grievance Procedures:
 - i. If the decision is in favor of the student, the necessary corrective action will be taken.
 - ii. If the decision is not in favor of the student, students have the right to submit an explanatory statement, which must be included as a permanent part of their record
- 4) The right in most instances to control access to information in their records by persons or agencies outside the School. Within the School, information from a student's record will be made available to those staff members who demonstrate a legitimate educational interest consistent with their official functions for the School and consistent with normal professional and legal practices.
 - a) Federal law requires that the School designate what it regards as directory information, which may be released to those outside the School without specific authorization. Under the Law each currently enrolled student is

6.2.6 Student Records

- entitled to elect that items designated as directory information not be released without his or her consent.
- b) NTPS has designated the following items as directory information:
 - i. name,
 - ii. permanent and local address and telephone,
 - iii. class level,
 - iv. major field,
 - v. dates of attendance at the NTPS,
 - vi. degree received and date awarded,
 - vii. honors and awards received,
 - viii. participation in recognized activities, and
 - ix. previous school(s) attended.
 - c) Persons outside the School - including a students' parents, spouse and employer - will be given non-directory information from a students' records only
 - i. when students authorize it in writing, or
 - ii. in connection with their application for or receipt of financial aid, or
 - iii. in connection with studies conducted for the purpose of accreditation, development and validation of predictive tests, administration of student aid programs, or improvement of instruction, or
 - iv. when disclosure is required in a health or safety emergency or by federal or state law or by subpoena. If information from their record is subpoenaed, students will be notified as quickly as possible. In addition, the results of a disciplinary hearing conducted by the institution against the alleged perpetrator of a crime of violence will be made available to the alleged victim of that crime.
 - d) NTPS is required to keep a record of all requests for non-directory information from their records made by persons outside the School, and to make that record available for students to examine.
 - e) Students have the right to direct that directory information about students not be released, however, students should carefully consider the consequences of that action before making the decision to do so. Information is not withheld selectively. If students choose to have directory information withheld, it is withheld from everybody who inquires.
 - f) If students wish the School not to release those items designated as directory information, students must file a written request to that effect during each term students are enrolled. If students elect to have the School

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<p style="text-align: center;">not release this information, all items designated as directory information will be withheld.</p> <p>5) The right to file a complaint to federal officials if students feel that there has been a violation of the rights afforded students under the Family Educational Rights and Privacy Act of 1974. The complaint must be submitted in writing within 180 days of the alleged violation to:</p> <p style="text-align: center;">U.S. Department of Education The Family Policy Compliance Office 600 Independent Avenue SW Washington, D. C. 20202-4605 Telephone (202) 260-3887</p>
<p>References</p> <p><i>Family Educational Rights and Privacy Act of 1974</i></p>
<p>Cross References</p> <p>Policy 6.1.4 <i>Grievance Policies and Procedures</i></p> <p>Policy 4.1.4 <i>Data Integrity</i></p>

6.2.7 Student Right to Know
<p>Purpose</p> <p>This policy is designed to ensure compliance with the Student’s Right to Know regulations.</p>
<p>Applicability</p> <p>No currently applicable. NTPS does not participate in student assistance programs under Title IV and is therefore not obligated to comply with Student Right to Know regulations.</p>
<p>Policy</p> <p>Under the Student Right to Know Act as amended by the Higher Education Technical Amendments of 1991 and the Higher Education Technical Amendments of 1993 institutions that participate in any student assistance program under Title IV of the Higher Education Act of 1965 are required to disclose information about graduation rates to current and prospective students. These figures must be made available to prospective students before they enroll at the School or enter into any financial obligations (such as submitting their enrollment deposit). As NTPS does not currently participate in Title IV student assistance programs, this regulation is not currently applicable. Should the school participate in these assistance programs, it will be obliged to comply with the regulations</p>
<p>References</p> <p><i>Right to Know Act 1990 as amended by the Higher Education Technical Amendments of 1991</i></p> <p><i>Higher Education Technical Amendments of 1993</i></p>
<p>Cross References</p>

6.2.8 Student Absences
<p>Purpose</p> <p>This policy is intended to define the approval process for student requesting a planned absence during normal school operating hours during their course of study.</p>
<p>Applicability</p> <p>All students in Professional level courses of study, Category II and longer.</p>
<p>Policy</p> <p>Students enrolled in a Professional level course who wish to have personal time away from the school during normal school hours for any reason should complete the NTPS Student Absence Sheet stating the desired times they wish to be absent and a brief explanation as to the reason. The form should be given to their course coordinator for the applicable phase of study. Approval authority is the President through the HT.</p>
<p>References - none</p>
<p>Cross References - none</p>

6.2.9 Language
<p>Purpose</p> <p>This policy is intended to define the language policy of NTPS.</p>
<p>Applicability</p> <p>All students in Professional level courses of study, Category II and longer.</p>
<p>Policy</p> <p>English is the only language that is used for instruction at NTPS. NTPS expects all incoming students to be proficient in speaking, reading, and understanding the English language.</p> <p>All applicants whose native language is not English, or who were educated at schools where English is not the language of instruction in all disciplines, must submit evidence of English language proficiency. Evidence consists of an official test report for the Test of English as a Foreign Language (TOEFL) submitted directly to NTPS from the testing agency. Minimum scores on the internet-based test are 70 for pilots and 60 for FTEs.</p> <p>NTPS can arrange language training on demand through a second party service provider. Costs will be provided as requested and will be dependent on the service provider.</p> <p>If English is not the student’s primary language, and the student is unable to understand the terms and conditions of the enrollment agreement, disclosures and statements, the student may obtain a clear explanation of the enrollment agreement, disclosures and statements, terms and conditions and all cancellation and refund policies in his or her primary language. A student may request this from the Admissions Office. A certified translation will be provided to the student upon request.</p>
<p>References – BPPE §94906 (a) & (b)</p>
<p>Cross References – none</p>

7 Research

7.1 General Research

7.1.1 Research
<p>Purpose</p> <p>This policy contributes to the accomplishment of the advancement of knowledge through research and scholarship to which NTPS is committed.</p>
<p>Applicability</p> <p>All faculty and students</p>
<p>Policy</p> <p>1) Introduction</p> <p>Teaching, research, and service are NTPS basic functions. All faculty members have an opportunity to contribute to NTPS’s research effort. It is NTPS policy to encourage, assist, and provide facilities for faculty members in the fulfillment of their research responsibilities.</p> <p>NTPS supports academic freedom for staff and students in responsibly engaged research activities see Policy 5.1.1 <i>Academic Freedom</i>.</p> <p>It is NTPS policy that its employees conform to established ethical standards in the conduct of their research and creative activities as established in 7.1.2 <i>Integrity in Research</i> and Policy 5.1.5 <i>Faculty Code of Conduct</i>.</p> <p>Although Director NFTI has the direct responsibility to provide for and to evaluate research efforts, administrators at all levels are responsible for allocating to the research function a share of the available financial resources and manpower that is appropriate in light of the teaching and service functions. The allocation of research funds should also be proportionate to the research capabilities and needs of the NTPS academic branches.</p> <p>Research undertaken by members of the faculty and staff on their own time, i.e., outside of normal duty hours, and that does not involve the use of NTPS facilities (other than the library and normal office use), equipment, personnel, or supplies, is not covered by these policies.</p>

7.1.1 Research**2) Sources of Support for Research**

Achievement of the goals implicit in this policy is dependent in large measure on expanded research activities, which can be made possible through:

- a) Faculty member's application to obtain research grants and contracts from outside sources.
- b) Assignments of funds from the general education. The amount of such funds should be commensurate with the current level of research activity and will be computed on a percentage of the research monies generated from outside sources by NTPS research units.

3) Guidelines Applicable to All Research

- a) All research must be approved by the President and CEO.
- b) All research projects undertaken should give promise of furthering NTPS's mission, functions, and objectives and those of the academic branches involved. Contract research, though conducted primarily for the purpose of obtaining information requested by the outside contractor, should also qualify under this guideline.
- c) The amount of research activity undertaken by faculty members should be consistent with the maintenance of both high research standards and excellence in the performance of teaching duties. Director NFTI should offer encouragement and guidance to faculty members so that they properly balance research and teaching activities.
- d) Research projects should be carefully planned so as to enhance the likelihood that they will result in valuable contributions to knowledge or solutions of significant problems.
- e) Research projects may be proposed and carried out by Director NFTI, through the cooperation of several academic branches, or in collaboration with other institutions. Whenever possible, the research should be directed by a member of the faculty or professional staff and should involve graduate assistants and students.
- f) Research Project Coordinators receiving state appropriations for research should regularly evaluate their programs in order to strike an appropriate balance between the short-term research needs of the state and long-term research goals.
- g) Research projects that restrict the release of program content or results normally are to be avoided. This policy in no way prohibits:

7.1.1 Research

- i. Provisions for protecting the right to privacy of persons, business entities, and corporations who are the subjects of, or the participants (e.g., through interviews) in, a research program.
- ii. NTPS from granting a reasonable delay in the release of the program content or results after a project's completion, if the sponsor has a bona fide intention to apply for a patent or copyright.
- iii. Research programs that are deemed to be in the best interest of the nation, the results of which may be "classified" by the federal government. Such proposals must be approved on a case-by-case basis by the CEO.

4) Guidelines Applicable to Research Supported by Grants, Contracts, and Cooperative Agreements

Proposals and Conduct

- a) Proposals addressed to outside agencies requesting support for research projects must be approved by Director Business Operations Director NTPS, Director of NFTI, the President (Accountable Manager), and the CEO.
- b) Adequate facilities and equipment must be available to conduct the research or funds are to be provided to make them available.
- c) There should be a good prospect of securing any additional professional or nonprofessional personnel required to conduct the research.
- d) The budget must be adequate for the work proposed, including allowances for contingencies and possible salary increases.
- e) Provision for any NTPS funds required in the form of either direct or indirect costs should be made. Payment of expenditures in excess of any research budget is the responsibility of the sponsoring academic branch.
- f) The terms covering any research grant, contract, or cooperative agreement must be compatible with the regular NTPS policies and procedures, including the unrestricted release of the program content and results, except as provided in point 6 of Guidelines Applicable to All Research
- g) The terms must also conform to the principles of Policy 7.1.5 *Intellectual Property*, must not infringe academic integrity, and must permit NTPS and the academic branches and faculty members involved to exercise administrative control over the project and to retain responsibility for the work undertaken.
- h) It is the principal investigator's responsibility to ensure that adequate audit records of narrative reports, as specified in the agreement or contract, are maintained to satisfy any future audit.

School Obligations

7.1.1 Research

In accepting a grant or entering into a contract or cooperative agreement for research, NTPS undertakes the following obligations:

- a) To allocate the research personnel and time, library resources, and administrative services (e.g., services of the central administration, routine secretarial and clerical assistance, shop and laboratory facilities, custodial service, insurance, utilities, and building maintenance) required to fulfill the research commitment.
- b) To provide facilities for the production of reports and publications describing the research performed and the results achieved.
- c) To ensure that persons conducting research and others in NTPS understand and comply with the policies outlined herein, with patent, copyright, publication, and fiscal requirements, and policy 1.3.4 *Conflict of Interest*.

Obligations of the Principal Investigator

In making application for and receiving a grant, contract, or cooperative agreement for research, the principal investigator assumes the following obligations:

- a) To ensure that research conducted and reported is of high standards of excellence and consistent with the mission, functions, and objectives of the School.
- b) To ensure that all conditions of the grant, contract, or agreement are met.
- c) To ensure that only proper budget expenditures are made and that expenditures are not in excess of budget limits.
- d) To ensure that proper employee time records are maintained.
- e) To ensure that time schedules are observed.
- f) To ensure that progress and final reports are prepared and transmitted on time.
- g) To ensure that student and other researchers are given full credit for work on or for ideas contributed to research projects.
- h) To ensure that NTPS policies and procedures pertaining to safety, vehicle use, human subjects, patent, copyright, publication, etc., are adhered to in the pursuit of the research.
- i) To ensure that research conducted away from the NTPS campus adheres to the same high standards of excellence and conduct as is expected on campus.
- j) To report immediately in writing to one's superior if any of the above obligations cannot be fulfilled.

7.1.1 Research
<i>Indirect-Cost Assessments</i> a) Indirect costs (i.e., facilities and administrative costs) must be included on any grant or contract. NTPS will only waive indirect costs if: b) the granting agency provides in writing its official policy stating that it does not allow indirect costs or allows only a specific percentage or c) the CEO determines that the grant or contract is of such an unusual nature that a waiver, in part or in full, is unquestionably in NTPS’s interest.
References
Cross References Policy 1.3.4 <i>Conflict of Interest</i> Policy 5.1.1 <i>Academic Freedom</i> Policy 5.1.5 <i>Faculty Code of Conduct</i> Policy 7.1.2 <i>Integrity in Research</i> Policy 7.1.6 <i>Intellectual Property – Patents</i> Policy 7.1.5 <i>Intellectual Property – Copyright</i>

7.1.2 Integrity in Research

Purpose

The National Test Pilot School encourages and maintains high ethical standards in research. This Policy reaffirms the School's commitment to integrity in research.

Applicability

All faculty and students

Policy

Integrity of research activities is fundamental to the search for new knowledge and includes not just the avoidance of wrongdoing, but also the rigor, carefulness, and accountability that are characteristic of good research.

All persons engaged in research at the School are responsible for adhering to the highest standards of intellectual honesty and integrity in research. Faculty and other supervisors of research activities have a responsibility to create an environment which encourages high standards and integrity in research. Open publication and discussion, emphasis on quality of research, appropriate supervision, maintenance of accurate and detailed research procedures and results, and suitable assignment of credit and responsibility for research and publications are essential elements for intellectual honesty and integrity in research.

Misconduct

Misconduct in research is defined as practices that seriously deviate from those that are commonly accepted within the scientific community for proposing, conducting, or reporting research. This includes, but is not limited to:

- Fabrication (creating fictitious data or results);
- Falsification (altering data or results including selective omission of data without scientific or scholarly justification);
- Plagiarism (using the words or ideas of others without acknowledgement and passing them off as original);
- Failure to provide appropriate citations;
- Refusal to give peers reasonable access to unique research materials or data that support published papers;
- Use of inappropriate statistical or other methods of measurement to enhance the significance of research findings;

7.1.2 Integrity in Research
<ul style="list-style-type: none">• Grossly inadequate supervision of research subordinates;• Abuse of confidentiality; or• Other deliberate misrepresentation in proposing, conducting, or reporting research. <p>Misconduct does not include honest error or honest differences in interpretations or judgments of data.</p> <p>NTPS will address any allegations of misconduct in research. Any alleged misconduct will be reviewed and administered in accordance with the appropriate disciplinary policy as follows:</p> <ul style="list-style-type: none">• Faculty – Policy 5.1.3 <i>Faculty Code of Conduct</i>• Students – Policy 6.1.3 <i>Violation of Student Code of Conduct</i>
References
Cross References
Policy 5.1.3 <i>Faculty Code of Conduct</i>
Policy 6.1.2 <i>Violation of Student Code of Conduct.</i>

7.1.3 Research involving Human Subjects
<p data-bbox="219 258 324 289">Purpose</p> <p data-bbox="219 321 1385 443">While the use of human subjects in research by NTPS is very limited and generally excluded under federal regulations, this policy sets out minimum values and standards NTPS has adopted. It also provides guidance should the scope of human research expand in the future.</p>
<p data-bbox="219 499 389 531">Applicability</p> <p data-bbox="219 562 527 594">All faculty and students</p>
<p data-bbox="219 657 300 688">Policy</p> <p data-bbox="219 720 1385 877">Research involving human subjects has the potential of providing significant benefits, however, it must always take into account the well-being and rights of the individuals who are used as test subjects. NTPS is committed to minimizing the risks associated with such research.</p> <p data-bbox="219 919 1385 1077">It is NTPS policy to minimize research involving human subjects. Research performed by members of the NTPS community on human subjects is limited to human factors testing. Medical or sociological testing is not performed. NTPS does not expect that there will be any extension to research involving human subjects in the foreseeable future.</p> <p data-bbox="219 1119 1385 1234">Human research is regulated Under the Federal Policy for the Protection of Human Subjects, through the Office of Human Research Protections (OHRP) of the Department of Health and Human Services (DHHS).</p> <p data-bbox="219 1266 836 1297"><i>Acceptable Research involving Human Subjects</i></p> <p data-bbox="219 1329 1385 1402">Under the DHHS Policy for the Protection of Human Subjects, (45 CFR 46.101(b)) the following research practices may be employed without further approval:</p> <ol data-bbox="267 1444 1385 1854" style="list-style-type: none"> 1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as: <ol style="list-style-type: none"> a) research on educational instructional strategies; or b) research on educational effectiveness including the comparison among instructional techniques, curricula and classroom management methods. 2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), if information taken from these sources is recorded so that subjects cannot be identified, directly or indirectly. 3) Research involving survey or interview procedures, except where the following conditions exist:

7.1.3 Research involving Human Subjects

- a) responses are recorded in such a way that the human subject can be identified;
- b) the responses, if they became known outside the research could reasonably place the subject at risk of criminal or civil liability or be damaging to the subject's financial standing or employability; and
- c) the research deals with sensitive aspects of the subject's own behavior, such as illegal conduct, drug use, sexual behavior, or use of alcohol.

All research involving survey or interview procedures is exempt when the respondents are elected or appointed public officials or candidates for public office.

- 4) Research involving observation of public behavior except where all of the following conditions exist:
 - a) subjects can be identified;
 - b) the recorded observations if they became known outside the research could reasonably place the subject at risk of criminal or civil liability or be damaging to the subject's financial standing or employability; and
 - c) the research deals with sensitive aspects of the subjects own behavior, such as illegal conduct, drug use, sexual behavior, or use of alcohol.
- 5) Research involving the collection or study of existing data, documents, records, pathological specimens or diagnostic specimens of these sources are publicly available or if subjects cannot be identified.

Any proposed research involving human subjects that does not meet the above exemption must be approved by the President (Accountable Manager) and the CEO, and it must comply with all DHHS regulations. Under DHHS regulations ([45 CFR 46.103\(a\)](#)) institutions engaged in human subjects research are required to provide OHRP with a satisfactory assurance to comply with the regulations.

Definition

The term "human subject" shall apply to any living individual about whom the investigator conducting research obtains data through interaction or intervention or identifiable private information, regardless of any affiliation or lack of affiliation with NTPS.

7.1.3 Research involving Human Subjects

References

Policy for the Protection of Human Subjects, Office of Human Research Protections of the Department of Health and Human Services

Cross References

7.1.4 Research Involving Animal Subjects
<p data-bbox="217 258 321 289">Purpose</p> <p data-bbox="217 323 1386 401">NTPS has not previously, nor does it not expect to use in the future animals for teaching or research. This document sets out the NTPS policy on the use of animals in research.</p>
<p data-bbox="217 459 386 491">Applicability</p> <p data-bbox="217 525 521 556">All faculty and students</p>
<p data-bbox="217 617 302 648">Policy</p> <p data-bbox="217 682 1386 760">NTPS has historically not used animals for teaching, research or in any other capacity, nor does the school reasonably expect to perform any animal testing in the foreseeable future.</p> <p data-bbox="217 863 1386 1066">NTPS recognizes, however, that the use of animals is a genuine and established technique used in scientific research. Should students or faculty believe that they have a legitimate basis to use animal testing in their research, they must submit a proposal to the Director of the NFTI. The authority to approve animal testing lies with the research review board consisting of the President (Accountable Manager) and the CEO.</p> <p data-bbox="217 1100 1386 1220">NTPS believes that any use of animals in research or testing is accompanied by a moral and legal obligation for humane animal care. Any animal testing would require the adherence to the following mandatory minimum standards:</p> <ul data-bbox="269 1253 1386 1591" style="list-style-type: none"> <li data-bbox="269 1253 1386 1331">• The U.S. Government Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research and Training; <li data-bbox="269 1341 1386 1419">• The requirements of the Institute of Laboratory Animal Resources (ILAR) Guide for the Care and Use of Laboratory Animals. <li data-bbox="269 1430 1386 1507">• Animal Welfare Act, administered by the U.S. Department of Agriculture (USDA); and <li data-bbox="269 1518 1386 1591">• Other applicable State and local statutes and regulations concerning the care and use of Laboratory Animal Subjects. <p data-bbox="217 1625 1386 1787">Any violation to the above regulations may incur penalties. Failure to comply with USDA regulations may result in civil or criminal prosecution, the suspension of research programs and the withdrawal of funding. Failure to comply with the ILAR Guide may also result in suspension of Animal Research activities.</p>

7.1.4 Research Involving Animal Subjects

References

U.S. Government *Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research and Training*

Institute of Laboratory Animal Resources (ILAR) *Guide for the Care and Use of Laboratory Animals*

Animal Welfare Act, administered by the U.S. Department of Agriculture (USDA)

Cross References

7.1.5 Intellectual Property - Patents

Purpose

NTPS recognizes that inventions and discoveries may result from the activities of School employees in the course of their duties or through the use of School facilities, funds, or resources. In the development of its technology, it is the objective of the School to encourage such development by all means appropriate to its research sponsors, and its inventors and ensure fair and reasonable equity allocations between parties.

Applicability

All faculty and staff

Policy

The School recognizes that inventions and discoveries (“inventions”) may result from the activities of School employees in the course of their duties or through the use of School facilities, funds, or resources. It is the School’s policy that such inventions shall be administered so as to be brought into practical use for public benefit at the earliest possible time. In the development of its technology, the School’s objectives are to encourage and facilitate such development by all means appropriate to its research sponsors, and its inventors.

Ownership

Except as otherwise specified by the School in writing, inventions shall belong to the School, if conceived or reduced to practice:

- 1) by a School employee as a result of the employee’s duties; or
- 2) through the significant and sustained use by any person, including a School employee, of School resources such as facilities, equipment, funds, or funds under the control of or administered by the School.

This does not apply to an invention for which no school equipment, supplies, facilities or trade secret information was used, and which was developed entirely on the employee’s own time unless the inventions relate to the business of the School and the invention results from significant work performed by the employee for the School. Any invention conceived or reduced to practice prior to the inventor’s employment with the School shall be disclosed to the School and shall belong to the inventor. The employee shall bear the burden of proof in establishing that his invention does not belong to the School.

7.1.5 Intellectual Property - Patents

In the event there is a question about an invention as to whether the School has an ownership claim, the invention should be disclosed to the School. Such disclosure is without prejudice to the inventor's ownership claim. In determining ownership interest in an invention, the Board of Trustees may determine that the School has no property interest in the invention because its conception and reduction to practice was unrelated to the inventor's duties, involved only insignificant use of School resources (such as office space or libraries normally available to all faculty and staff), or for such other reasons as may be set forth in the guidelines. The inventor will receive a written statement as to the School's property interest. Further, the employee/inventor shall disclose to the committee any and all inventions they presently own or have any interest in. It is necessary to have full disclosure so the Board will have a complete understanding in their evaluation. The employee/inventor should make this disclosure upon first hire.

The School may also accept an offer to assign ownership in an invention or other technology which does not meet the previous conditions provided that such action is determined to be consistent with the School's objectives in the development of technology. These inventions will be administered to advance the respective interests of the School and inventor, consistent with the administration of other School-owned inventions.

Disclosure

Faculty, staff and others who conceive inventions or reduce them to practice as provided in the above paragraph should promptly and fully disclose each invention to the School and describe the circumstances under which it was conceived or reduced to practice.

Faculty, staff, and others must notify the School prior to entering into a contractual agreement in which royalties or other forms of remuneration.

Control

The School has the sole right to control and determine the usage of School-owned inventions, subject to any prior contractual obligations to external sponsors. Such usage shall be in a manner which in the judgment of the School, is in the best interests of the School, its inventors, its research sponsors, and the public.

After evaluation of any invention and review of applicable contractual commitments, the School may develop the invention through licensing, may release the invention to the sponsor of the research under which it was made, may release the invention to its inventor(s), or may take such other actions as are consistent with its objectives regarding inventions.

Distribution of Income

7.1.5 Intellectual Property - Patents

When income is received by the School from a school-owned invention, all payments or obligations directly attributable to patenting, marketing, licensing, protection, or administering the invention will be deducted from income. The income remaining after these deductions is defined as net income.

The School and the author will develop a written agreement, which will be approved by the CEO, specifying the division of net income between the author or producer and the School. The following general principles shall be reflected in the agreement:

- 1) Fifty (50) percent of the net income derived from the external use of School-owned educational materials shall go to the departments, areas, or units responsible for their production, and fifty (50) percent to the authors or producers.
- 2) The School may enter into agreements for dividing the net income on some other basis, if special circumstances attend the production, use, or licensing of these materials.

The author or producer of School-sponsored intellectual property materials shall not receive compensation, other than regular compensation from the School, for the normal internal use of these materials, except when such compensation is negotiated at the time of initial commission.

Relations with Inventors

- 1) The School will inform inventors as to its decisions regarding inventions which they have disclosed. Should the School decide to abandon development of a School-owned invention, ownership will be assigned to the inventor(s), subject to the rights of sponsors and to the retention of a nonexclusive, royalty-free license to practice the invention for School purposes.
- 2) The School may require inventors to execute an assignment and related documents necessary to further the patenting and development of an invention and to cooperate with the School in such activities.
- 3) Employees engaged in external consulting work or business relating to patents or inventions are responsible for ensuring that agreements emanating from such work are not in conflict with School policy or with the School's contractual commitments. Such employees should make their School obligations relating to patents, inventions or potentially conflicting work assignments known to others with whom they make such agreements and should provide other parties to such agreements with a statement of School policies on inventions and discoveries.

References

7.1.5 Intellectual Property - Patents

Cross References

7.1.6 Intellectual Property - Copyright

Purpose

The policy of the School with regard to copyrightable works is intended to encourage the traditional freedoms of the School's faculty, staff, and students in matters of publication, through a fair and reasonable equity allocation among authors, sponsors, and the School. At the same time coursework produced while an employee at the school (such as written or recorded presentations, manuals, tutorials, etc.) is the sole property of the school.

Applicability

All faculty, staff and students

Policy

The School encourages its faculty to author in scholarly publications, technology magazines or journals, etc. and to appropriately protect their intellectual property. At the same time, it is policy of the School to ensure that copyrightable materials in which the School has a legitimate interest are utilized in a manner consistent with the School and the public interests.

Ownership

All copyrightable works produced prior to the implementation of this policy shall be owned by the authors. The author shall bear the burden of proof in establishing that his copyrightable work predates the date of implementation of this policy. Ownership in copyrightable works produced by authors who are School faculty, staff members or students shall remain with the authors. The authors are encouraged to take the initiative in developing their own relationships with the publishers and pursue their own interests relative to publication, software/courseware development and copyright. This does not include course presentations, Class notes, student workbooks, video lectures, etc. developed in support of specific software/laboratories taught at the School. Independent textbooks, manuscripts, videotapes or any other educational material written or developed by the author shall be the property of the author except in the following situations where such rights of ownership, as it may require, shall vest with the School:

- The terms of a School agreement with an external party require the School to hold or transfer ownership in the copyrightable work, or
- Works expressly commissioned in writing by the School, or
- Assigns works created as a specific requirement of employment or as an assigned School duty. Such requirements or duties may be contained in a job description or an employment agreement which designates the content the employee's School

7.1.6 Intellectual Property - Copyright

work. If such requirements or duties are not so specified, such works will be those for which the topic or content is determined by the author's employment duties and/or which are prepared at the School's instance and expense, that is, when the School is the motivating factor in the preparation of the work.

In a particular employment situation, if an author is uncertain about the ownership of the works referred to in this section, before undertaking the assignment the author shall be entitled to request in writing and to receive a clarifying written statement from the CEO.

When the School commissions the preparation of a copyrightable work by an author who is not a School employee, the contract with such author shall specify that the author conveys by assignment such rights as are required by the School.

With respect to copyrightable works owned by the School under this section, the authors may be required to execute documents which are necessary to vest ownership in the works to the School or its designee. Authors who produce works for which ownership vests in the School under this section must warrant that such works do not infringe any pre-existing copyright.

Sponsored Works

A sponsor's right to use or own a work prepared under its sponsorship will be determined by the provisions of its contract with the School.

Licensing

As provided in the previous section, copyrightable works developed by School staff or students using School resources normally provided (such as office space, library facilities, or regular salary) are owned by the authors. These works do not need to be licensed to the School. Copyrightable works developed with use of School resources over and above those normally provided will be owned by the authors but licensed to the School. The minimum terms of the license should grant the School the right to use the copyrightable work in its internally administered programs of teaching, research, and public service on a royalty-free, nonexclusive basis. All expenses incidental to such licensed use will be borne by the School.

Copyright Registration and Notice

In general, only those School-owned works which have an income potential or which the School intends to develop, use, or publicly circulate should be protected by copyright notice.

7.1.6 Intellectual Property - Copyright

Such copyright notice should be composed and affixed in accordance with United States Copyright Law.

The responsibility for determining the need for copyright protection and recommending copyright registration of a School-owned work shall rest with the CAO or branch chief where the work was prepared. Any recommendation should be forwarded to the School's legal advisors, who will ensure the Copyright notice is done in accordance with the U.S. Copyright Law and who will be responsible for the proper registration of the work to be copyrighted.

Faculty Works

A faculty member, who has authored published textbooks or instructional materials which are sold for profit may apply to have the material adopted for the course taught by the author, provided that a committee designated by the branch chair evaluates and approves the material.

A faculty member may request release time or release from normal workload duties in order to develop courseware and/or publish. The request will be made to CEO through the CAO and the President (Accountable Manager). The following should be taken into consideration for granting release time:

- a specific time frame commitment for publication;
- an indication of interest-to-publish from a legitimate publisher;
- a negotiated agreement between the author and the School.

Student Works

Unless subject to the provisions of section 1 or provided otherwise by written agreement, copyrightable works prepared by students as part of the requirements for a School degree program are deemed to be the property of the student and are subject to the following provisions:

- 1) The original records of an investigation for a graduate thesis or dissertation are the property of the School but may be retained by the student at the discretion of the student's major branch.
- 2) The School shall have, as a condition of the degree award, the royalty-free right to retain and use a limited number of copies of the thesis, together with the right to require its publication for archival use.

Administration of Copyrightable Works

7.1.6 Intellectual Property - Copyright

The procedures and responsibilities for maintaining records for copyright registration, royalty collection and distribution, marketing, assignment of copyrightable works and other actions as appropriate, will be established by the President (Accountable Manager). All contracts for the marketing of copyrightable works shall be executed in accordance with direction from the School legal advisors.

Distribution of Income

The School will normally distribute fifty percent (50%) of the net income received from the marketing of School-owned copyrightable works to the author(s) of such works. Other distributions may be justified in unusual circumstances or by written agreement with the author(s). Income distribution arrangements should be proposed by the CFO where the work is performed and are subject to review and approval by the President (Accountable Manager) and the CEO. The President (Accountable Manager) will also mediate disagreements arising from such determinations. A record of income sharing agreements must be reported to the School's Board of Trustees. Unresolved disagreements concerning income distribution or circumstances in which the proposed author's share exceeds fifty percent (50%) of net income will be reviewed by the Board of Trustees, which will make recommendations to the CEO for final disposition. Net income is gross income received by the School less expenses attributable to copyright registration, marketing, or other requirements for use and sale of materials outside the School. After deduction of the author's shares, the remaining net income will be allocated as determined by the CEO.

Compliance with the Copyright Act

The Copyright Act of 1976 and implementing regulations specify numerous conditions on the reproduction and use of works protected by copyright and provide penalties for noncompliance. These regulations address such matters as photocopying, public broadcast programs, and various other practices. School units whose activities involve any such regulated usage are responsible for knowing applicable regulations, monitoring their continuing evolution, and conducting their programs in full compliance with the applicable laws and regulations.

References

The Copyright Act of 1976

Cross References

7.1.7 Technical and Safety Review Process for research projects
<p>Purpose</p> <p>The policy of the School that defines the processes required for Technical and Safety reviews for research projects.</p>
<p>Applicability</p> <p>All faculty.</p>
<p>Policy</p> <p>It is the responsibility of the designated Director of NFTI Deputy Director to schedule and conduct technical and safety reviews. The review should include a least one NTPS safety team member.</p> <p>Reviews shall be conducted in the same professional manner as the School’s TRB/SRB’s, noting that violations of any high risk safety or technical issues will have to be resolved prior to moving to the next stage of the research. Results of the reviews will be made available to other staff members for additional external reviews.</p>
<p>References</p>
<p>Cross References</p>

7.1.8 Documentation & Numbering
<p>Purpose</p> <p>The policy of the School that defines the processes required for research and development documentation and numbering.</p>
<p>Applicability</p> <p>All faculty.</p>
<p>Policy</p> <p><u>Documentation</u></p> <p>All relevant documentation shall be filed either physically or electronically. Paper copies must be filed in a filing cabinet under the relevant project number. Electronic documentation must be filed under the relevant folder on the NTPS server.</p> <p>A dossier must be compiled for each research & development flight. The dossier will include:</p> <ul style="list-style-type: none"> • The aircraft configuration documentation • Weight and balance sheet • Test cards • After flight report • Any graphs or data sheets generated during the flight <p>The dossier must be filed in a filing cabinet in sequential order of the flight (see numbering system below).</p> <p>A register must be kept of all research and developmental flights, including the flight number, date, and a brief description of the flight objective.</p> <p><u>Numbering</u></p> <p>All research and development document files must be numbered according to the research project number.</p> <p>Officially released documentation must designate the number of the research project, the type of document, the document number and the revision number e.g.:</p>

7.1.8 Documentation & Numbering

023TR001 Rev1

TR=Test Report, TP=Test Plan, ER=Engineering Report, AF=After Flight Report, IR=Interim Report, PD= Proposal Document, EM=Engineering Memo.

Research and development flights will be numbered by aircraft tail number, date and flight e.g.:

N155TP-18Apr15-01

References

Cross References