



Personnel

RESEARCH AND PUBLICATION

COMPLIANCE WITH THIS PUBLICATION IS MANDATORY

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This instruction specifies responsibilities and establishes procedures for research and publication at Air University (AU), specifically the Continuum of Officer Professional Military Education schools and colleges, School of Advanced Air and Space Studies (SAASS), and the Air Force Fellows (AFF). It defines relationships between AU; the AU Dean of Research; the College of Aerospace Doctrine, Research and Education (CADRE); the AU Command Research Advisory Board (CRAB); the AU Command Research Advisory Board Working Group (CRAB-WG); as well as the Center for Strategy and Technology (CSAT), the Counterproliferation Center (CPC), and the Air University Library (AUL)/Air University Press (AUP). This instruction further applies to any other AU organization that may undertake research and publication.

1. General. This instruction codifies general policy governing research and publication at AU.

1.1. Research at AU embraces scholarly inquiry and the professional investigation of specialized military topics and issues. The processes of inquiry and investigation differ according to the norms of the academic disciplines or fields of professional military specialization involved. These processes may include survey of library materials and archival documents, collection of data by means of polling and statistical sampling, field and laboratory observation or interviews of subjects, as well as physical experimentation or testing. Research properly culminates in the analysis of data collected by means such as those mentioned above, and the presentation of the results of analysis in the form of reports or studies. Writing provides the essential bridge between research/analysis and publication.

1.2. Publication refers to the act and process of conveying intellectual products to diverse publics, especially in printed form. The definition of publication is increasingly being expanded by the advent of new media, particularly digital electronic formats.

1.2.1. Scholarly publication is the public dissemination of the results of research and analysis, conducted according to the norms of one or more of the academic disciplines, by media such as papers, journal and periodical articles, contributions to symposia, book chapters or books, through processes of peer review recognized in the various academic disciplines.

1.2.2. Professional publication is the security-classified or open dissemination of the results of research and analysis, conducted according to the norms of one or more field(s) of specialization by media such as papers, journal and periodical articles, contributions to symposia, book chapters or books, through processes of selection and distribution, and security/policy review, established by the USAF or other DoD agencies.

1.2.3. Research results may be disseminated through innovative, new media.

2. Policy. Research and publication in professional military fields of specialization on topics of interest to the United States Air Force (USAF), Department of Defense (DoD) and international and national security community, as well as scholarly research and publication, are essential elements of the AU educational mission. AU employs broad definitions of research and publication for the good of the USAF and in the public interest.

2.1. Research and publication are integral to the professional duties of AU faculty members as outlined in faculty position descriptions. Research and publication ensure that faculty members remain current in their fields, and therefore contributes to the quality of instruction and service to the USAF, DoD, and the nation. Moreover, active research and publication by faculty enhances the reputation of AU and the USAF.

2.2. All AU educational programs will encourage the appropriate integration of research with instruction.

2.2.1. It is highly desirable that all US officer PME students write a formal research paper in the course of their educational programs at AU. Performing meaningful research, analysis and writing enhances analytical, organizational, and writing skills. In addition, student papers may provide new professional knowledge relevant to the needs of the USAF and DoD.

3. Duties and Responsibilities.

3.1. AU Dean of Research:

3.1.1. Senior advisor to AU/CC for research and publication.

3.1.1.1. Advises AU/CC on annual research agenda.

3.1.1.2. Executive Director of AU Command Research Advisory Board (CRAB).

3.1.2. Provides advice for AU research programs. AU schools and colleges have primary responsibility for maintaining educationally appropriate research and publication programs: Individual Research and Publication Programs (IRPPs), Sponsored Professional Research Programs (SPRPs) and the Air Force Fellows (AFF).

3.1.3. Coordinates and assists AU institutions with outside agency funding for AU research.

3.2. Director, Airpower Research Institute (CADRE/AR)

3.2.1. Chairs the Command Research Advisory Board-Working Group (CRAB-WG) which consists of the AU Command Chairs, the Chiefs of Research and Publication of the AWC, ACSC and SAASS; a representative of the Air Force Doctrine Center; and the directors of other AU research organizations, including CADRE/Airpower Research Institute, AU/Center for Strategy and Technology, AF Counterproliferation Center, AF Fellows Program, and the AU Library (AUL). Organizes CRAB-WG meetings as directed by AU/CC (at least semi-annually). Briefs AU/CC on the proposed AU Research Agenda (Spring meeting) and research progress and outcomes (Winter meeting).

3.2.1.1. Member of the AU Council of Deans (COD).

3.3. Research Support Division (CADRE/ARS):

3.3.1. Provides technical support and other assistance to the AU Dean of Research.

3.3.2. Prepares and distributes the AU/CC "Call for Topics" letter every spring and posts research topics received to the AU Research Topics database.

3.3.3. Publishes *AU Research Bulletin* annually to report on AU research and publication programs.

3.3.4. Safeguards research products prior to the completion of security/policy review.

3.3.5. Ensures that, as appropriate, topic sponsors receive copies of papers inspired by their suggested topics. Posts selected papers on the the AU Research Web sites (classified or unclassified) and forwards them to the Defense Technical Information Center (DTIC) and the AU Library (AUL) as appropriate following AU/PA security review. *NOTE:* AU faculty, with agreement from the author, determine papers appropriate for distribution to sponsors and electronic publication on the basis of academic and professional merit.

3.3.6. Develops and maintains research support databases.

3.4. Command Research Advisory Board (CRAB):

3.4.1. Consists of AU/CC (Chair), AU Dean of Research (Executive Director), AU/CF, Commandants and Commanders of AU Research organizations. The CRAB seeks to create research opportunities that will sharpen the minds of rising air and space leaders and produce innovative thinking on critical military issues.

3.4.2. Meets as required, but at least semiannually (Spring and Winter).

3.5. Command Research Advisory Board Working Group (CRAB-WG):

3.5.1. Consists of the AU Command Chairs, the Chiefs of Research and Publication of the AWC, ACSC and SAASS; a representative of the Air Force Doctrine Center; and the directors of other AU research organizations, including CADRE/Airpower Research Institute, AU/Center for Strategy and Technology, AF Counterproliferation Center, AF Fellows

Program, and the AU Library (AUL). The working group helps in the solicitation of topics from the MAJCOMs, determines if any topics from the previous year should be retained, reviews abstracts of recent AU papers and keeps CADRE informed of any issues which would help provide better services.

3.5.2. Advises CRAB on issues related to research and publication at AU.

3.5.3. Helps coordinate the AU Research Agenda.

3.6. AU Command Chairs:

3.6.1. Serve as primary conduits for research issues between AU and their sponsoring major commands.

3.6.2. Review topics submitted by their sponsoring major commands and recommend to the AU Dean of Research topics for inclusion in the AU Research Agenda.

3.6.3. Serve as Subject Matter Experts (SME) on topics suggested by their sponsoring major commands.

3.7. Commandants/Commanders of AU Schools and Colleges:

3.7.1. Maintain research and publication programs for faculty and students appropriate to the educational objectives of the school or college to include integration of all faculty and student research programs with the educational program of the school or college.

3.7.1.1. Select a qualified, senior faculty member to serve as Chief, Research and Publication, for the school or college. *NOTE:* Qualifications for the position of Chief, Research and Publication, are defined in paragraph 3.8 of this instruction.

3.7.1.2. Establish policies providing for faculty members to serve as Faculty Research Advisors (FRA) and Subject Matter Experts (SME), as applicable. *NOTE:* Qualifications for FRAs are defined in subparagraph 3.10 of this instruction.

3.7.1.3. Ensure that adequate resources support research and publication by faculty and students.

3.7.1.4. Establish policies for the review of research topics proposed by faculty and students.

3.7.2. Brief school/college research programs to the AU/CC.

3.7.3. Establish policies and procedures for a SPRP appropriate to the educational program of the school or college.

3.7.3.1. Identify potential research sponsors/addressees for the AU/CC "Call for Topics" letter.

3.7.3.2. Add research topics to the AU Research Topics database.

3.7.3.3. Notify the AU Dean of Research and CRAB about SPRP research for inclusion in the AU Research Topics database as required (at least annually).

3.7.3.4. Establish a system to identify, on the basis of academic and professional merit, research products appropriate for distribution to sponsors and/or electronic publication.

3.7.4. Establish policies promoting faculty research and publication through a school or college IRPP.

3.7.5. Direct faculty and student researchers to submit research products for security/policy review when, in the opinion of the Commandant/Commander, the nature of their topics is such that the contents may involve current U.S. government policy or security-classified information.

3.8. Chiefs of Research and Publication, AU Schools and Colleges:

3.8.1. Each AU school or college that maintains a program of research and publication will designate a senior faculty member as its Chief of Research and Publication.

3.8.1.1. Profile: Chiefs of Research and Publication for each AU school and college hold an earned Ph.D., possess a substantial record of research and publication, and have extensive experience in graduate education.

3.8.2. Serve as primary school or college faculty advisor on all matters related to research and publication.

3.8.2.1. Promote integration of all faculty/student programs of research and publication into the educational program of the school or college.

3.8.2.2. Designate qualified faculty members to serve as Faculty Research Advisors (FRA) IAW school or college policies.

3.8.3. Represent each school or college on the CRAB-WG.

3.8.4. Manage the school or college SPRP on behalf of the Commandant/Commander.

3.8.4.1. Ensure that the SPRP of the school/college is educationally appropriate and effectively integrated into the curriculum.

3.8.4.2. Recommend to the Commandant/Commander topics for the school or college SPRP.

3.8.4.3. Identify faculty and students qualified to participate in the school or college SPRP.

3.8.4.4. Forward appropriate SPRP papers to CADRE/ARS for transmission to topic sponsors and electronic published on the AU Research Web Site.

3.8.5. Manage the school or college IRPP on behalf of the Commandant/Commander.

3.8.5.1. Ensure that the IRPP of the school/college is educationally appropriate and effectively integrated into the curriculum.

3.8.5.2. Monitor individual faculty research, assess faculty research needs and make recommendations to the Commandant/Commander on personnel policies required in support of faculty research and publication.

3.9. AU Faculty:

3.9.1. Serve as FRAs and SMEs, as applicable, for student researchers.

3.9.2. Update individual records in the Faculty Expertise database as required (at least annually).

3.9.2.1. Determine papers appropriate for distribution to sponsors and electronic publication on the basis of academic and professional merit.

3.9.3. Conduct individual programs of professional/scholarly research and publication IAW position descriptions.

3.9.3.1. Submit individual research products for security/policy review as appropriate.

3.9.4. Faculty members may also conduct research under the sponsorship of other USAF and DoD agencies.

3.10. Faculty Research Advisors (FRAs):

3.10.1. Profile: Each AU school/college will define qualifications for FRAs appropriate to their respective educational programs.

3.10.2. Suggest research topics to the school or college Commandant/Commander through the Chief, Research and Publication.

3.10.3. Direct student research IAW the educational programs, policies and procedures of their respective schools and colleges.

3.10.3.1. Evaluate completed student research IAW with relevant school or college policies.

3.10.3.2. Identify research products appropriate for publication on the basis of academic and professional merit, IAW relevant school or college policies relative to the evaluation of student performance.

3.11. Subject Matter Experts (SME):

3.11.1. Profile: SMEs are AU faculty or staff members with expert knowledge of specific, professional or academic disciplines, fields, topics or issues of research interest at AU.

3.11.1.1. All AU faculty and professional staff will self-nominate for the role of SME through the Faculty Expertise Database on the basis of their knowledge, skills and experience.

3.11.2. Advise AU researchers as appropriate.

3.12. AU Officer PME Students and AF Fellows Program Researchers:

3.12.1. Know and follow school/college procedures regarding research and publication.

3.12.1.1. Students in SPRP know and follow procedures, and meet required suspenses.

4. Sponsored Professional Research Programs (SPRP)

4.1. To promote education, research and publication in professional military fields of specialization on topics of interest to the USAF, Department of Defense, National and International Security Community, as well as scholarly research and publication, AU maintains SPRP.

4.1.1. Each AU Continuum of Officer Professional Military Education school/college, SAASS, and AFF will establish a SPRP.

4.2. Procedures:

4.2.1. CADRE/ARS helps the AU Dean of Research prepare a "Call for Topics" letter for the AU/CC. CADRE/ARS will append the *AU Research Bulletin* reporting on AU research from the previous academic year to the "Call for Topics" letter as an attachment if available.

4.2.1.1. "Call for Topics" letter is addressed to the Department of Defense, Joint Chiefs of Staff/Joint Staff, Unified Commands, Air Staff, Air Force Major Commands, and other defense agencies, battle labs, etc. Commandants/Commanders of AU schools and colleges may identify additional addressees.

4.2.2. CADRE/ARS places topics suggested by respondents to the "Call for Topics" letter in the Research Topics database.

4.2.3. Commandants/Commanders of AU schools and colleges may add topics to the AU Research Topics database, as applicable.

4.3. AU Research Agenda:

4.3.1. CRAB-WG members screen topics nominated through the annual AU Call for Topics for suitability, giving priority to the most timely, relevant and forward-thinking topics.

4.3.1.1. Chiefs of Research and Publication at AU schools/colleges identify faculty members qualified to serve as FRAs and SMEs, as applicable, for research projects on the selected topics.

4.3.1.2. CRAB-WG reports the results of the screening process to the AU Dean of Research.

4.3.2. AU Dean of Research convenes the CRAB to brief AU/CC on the topics recommended for inclusion in the proposed AU Research Agenda. Only topics for which qualified FRAs and SMEs, as applicable, are available will be included in the proposed AU Research Agenda.

4.3.3. AU/CC publishes the annual AU Research Agenda.

4.4. Academic Year Cycle for Sponsored Professional Research:

4.4.1. AU research organizations brief students on the purpose, procedures, and tools for AU research programs consistent with the requirements of their institution. They promote participation in the SPRP.

4.4.2. The Chief, Research and Publication, for each AU school/college will forward electronic copies of the selected papers to CADRE/ARS as early as possible following evaluation.

4.5. Handling Completed Papers:

4.5.1. CADRE/ARS will treat all incoming products of the SPRP as sensitive and "For Official Use Only," placing all papers on the SIPRNET Web site as early as possible upon receipt.

4.5.2. AU/PA will complete security/policy review of all products of the SPRPs as described in AUI 36-2308, Academic Freedom.

4.5.3. CADRE/ARS will post selected products of the SPRPs to the public AU Research Web sites and will distribute electronic files to the Defense Technical Information Center and AUL when security/policy reviews are completed.

DONALD A. LAMONTAGNE
Lieutenant General, USAF
Commander

Attachment 1**GLOSSARY***Abbreviations and Acronyms*

ACSC—Air Command and Staff College

AFF—Air Force Fellows

AU—Air University

AU/CC—Air University Commander

AUL—Air University Library

AUP—Air University Press

AU/PA—Air University Public Affairs

AWC—Air War College

CADRE—College of Aerospace Doctrine, Research and Education

CADRE/AR—Airpower Research Institute; College of Aerospace Doctrine, Research and Education

CADRE/ARS—Research Support Division; Airpower Research Institute; College of Aerospace Doctrine, Research and Education

CADRE/CC—Commander; College of Aerospace Doctrine, Research and Education

CRAB—Command Research Advisory Board

CRAB-WG—Command Research Advisory Board Working Group

DTIC—Defense Technical Information Center

DoD—Department of Defense

FOUO—For Official Use Only

FRA—Faculty Research Advisor

ISS—Intermediate Service School

MAJCOM—Air Force Major Command

PME—Professional Military Education

SAASS—School of Advanced Air and Space Studies

SAF/PAS—Security and Policy Review Directorate; Secretary of the Air Force, Public Affairs

SIPRNET—Secure Internet Protocol Network

SME—Subject Matter Expert

SSS—Senior Service School

URL—Uniform Resource Locator

Terms

Air Command and Staff College (ACSC)—ACSC, the Air Force intermediate professional military education (PME) school, prepares field grade officers of all services (primarily majors and major selects), international officers, and US civilians to assume positions of higher responsibility within the military and other government arenas. Geared toward teaching the skills necessary to conduct air and space operations in support of a joint campaign, ACSC focuses on shaping and molding tomorrow's leaders and commanders.

Air Force Fellows (AFF)—Develops senior air and space power leaders with a strategic understanding of international security and civil-military affairs.

Air University (AU)—Provides the full spectrum of Air Force education, from pre-commissioning to the highest levels of PME, including degree granting and professional continuing education (PCE) for officers, enlisted, and civilian personnel throughout their careers.

Air University Library—The center of information resources for Air Force PME. Seven librarians serve as liaisons to the AU schools and research organizations, providing organized access to print and electronic sources, and developing collections to support identified research topics. Hard copy of AU research is maintained and electronic access to research materials is provided. Parent organization for AU Press.

Air War College (AWC)—Annually prepares over 250 resident and 3,500 nonresident students from all US military services, federal agencies, and allied nations to lead in the strategic environment. Air War College stresses joint military operations and the employment of air and space power in support of national security objectives.

Airpower Research Institute (CADRE/AR)—Advances the theory and application of air and space power through independent research, research support, and publication. Also provides executive administration for the Air Force Fellows.

AU/CC "Call for Topics"—Annual letter sent by the AU/CC to DoD, unified commands, Air Staff, AF major commands/agencies/battle labs, etc. requesting topics for AU SPRP.

AU Completed Papers Database—Database containing all products of SPRP selected for publication on the basis of scholarly and professional merit. Security-classified products are restricted to the SIPRNET site.

AU Dean of Research—Primary AU advisor to AU/CC on all research issues. Coordinates AU research programs.

AU Faculty Expertise Database—Database containing contact information, research interests and educational backgrounds of all AU faculty members, as well as staff members with knowledge, skills and experience relevant to scholarly and/or professional research.

AU Research Agenda—A list of research topics coordinated by the Command Research Advisory Board and approved by AU/CC as suitable for AU Sponsored Professional Research Program.

AU Research Bulletin—Published annually by CADRE/ARS. Highlights ongoing research at AU and recognizes the research accomplishments of AU faculty and students during the previous Academic Year. Distributed throughout the US national security community.

AU Research Paper Template—AU-approved Microsoft Word template found on the AU research Web site. CADRE/ARS recommends its use for SPRP at AU.

AU Research Topics Database—Database containing all topics submitted in response to the AU/CC “Call for Topics” letter. Available to both resident/non-resident PME students and the AFF. AU Research Agenda topics are highlighted.

AU Research Tracking Database—Database containing notices of ongoing research projects. Participants in SPRP are required to provide the stipulated information, which includes titles, abstracts, milestones, etc.

AU Research Web Site—Air University URL found at <https://research.au.af.mil> or through the “Research Resources” link of the AU Homepage Web site at <http://www.au.af.mil>. This Web site contains notices of ongoing and completed AU student research projects.

Chief of Research and Publication—A senior AU faculty member who serves as primary advisor to the commander/commandant of an AU school or college on matters relating to research and publication.

Command Research Advisory Board (CRAB)—Consists of the AU/CC (Chair), AU/CF, AU Dean of Research (Executive Director), Commandants and Commanders of AU Research institutions. The CRAB seeks to create research opportunities that will sharpen the minds of rising air and space leaders and produce innovative thinking on critical military issues.

Command Research Advisory Board Working Group (CRAB-WG)—Consists of the AU Command Chairs, the Chiefs of Research and Publication for AWC, ACSC, and SAASS; a representative of the AF Doctrine Center; and the directors of other AU research organizations including CADRE, AU Center for Strategy and Technology, AF Counterproliferation Center, and the AUL. The working group helps in the solicitation of topics from the MAJCOMs, determines if any topics from the previous year should be retained, reviews abstracts of recent AU papers and keeps CADRE informed of any issues which would help provide better services.

Continuum of Officer Professional Military Education—A dynamic and continuous system of PME for officers that identifies levels of PME in an individual’s career, the common core curriculum areas that span that career, and a broad listing of topics that define each core area.

Defense Technical Information Center (DTIC)—The central DoD facility for the collection and dissemination of scientific and technical information. DTIC supports the warfighter and serves as a vital link in the transfer of information among DoD personnel, DoD contractors and potential contractors and other US Government agency personnel and their contractors.

Faculty Research Advisor (FRA)—An AU faculty member assigned to direct and evaluate student research.

Research Support Division (CADRE/ARS)—Provides assistance to the AU Dean of Research, prepares the AU/CC Call for Topics letters and publishes the *AU Research Bulletin*.

Subject Matter Expert (SME)—An AU faculty or staff member with expert knowledge of specific topics or issues available to provide research assistance.