CoB Procedures for Changing the Allocation of Faculty Effort

Approved May 12, 2004

The overall mission of the College of Business is to foster intellectual curiosity, business insight and effective leadership through high quality instruction, research and service to students, the citizens of Nebraska, and national and international communities. As noted below, the college’s accreditation body, AACSB, requires faculty management be consistent with the mission:

Faculty resources and faculty management should be consonant with the school’s stated mission and objectives. A variety of faculty skills may be needed to meet the mission of the college, and individual faculty members may be appointed to meet specific aspects of the mission. While not every faculty member must contribute in each of the three categories, the aggregate faculty must contribute in each of the three categories, the aggregate faculty must provide sufficient development in the past five years to show continuous development of the school’s services.

In conjunction with college accreditation requirements, CoB faculty approved the Performance Expectations for Tenured Faculty Members (revised April 15, 1999) document that establishes minimum standards of performance for tenured faculty members as follows:

Faculty members are expected to make sustained, significant contributions to the teaching, research, and service missions of the University. However, there are multiple standards for contributions, including the traditional 40% research, 40% teaching, and 20% service model. Tenured faculty members are expected to meet accreditation requirements for status as academically qualified, but the distribution of effort and the standards of performance will vary according with the faculty member’s comparative advantage, career stage, leave status, and distribution of responsibilities as agreed upon between the faculty member and the unit administrator. Faculty members should be evaluated on their long-term and continuing total contribution to the University and not on any single criterion.

Consistent with these objectives, the following standards for responsibilities in teaching, research, and service should be applied in the consideration of workload assignments. These standards should be viewed in conjunction with those outlined in the CoB Performance Expectations for Tenured Faculty Members (revised April 15, 1999) document.
Teaching Responsibilities

In the teaching area, assessment must take into account contributions to scholarship of teaching in a variety of ways – not simply number of courses taught. Furthermore, faculty members are expected to teach ideas, theories, and methods in their chosen fields appropriate to the level of their classes. Faculty evaluation in the teaching area should cover a broad set of dimensions, including but not limited to writing assignments, student presentations, student evaluation of teaching, peer review of teaching, instructional innovations, curriculum development and improvements, supervision of undergraduate and graduate research, class size, development of critical thought, as well as participation in teaching related workshops, conferences, teaching awards, and other factors of relevance to assessing the intellectual vigor of the faculty member’s teaching activity.

Research Responsibilities

In the research area, assessment must take into account depth, quality and diversity of research endeavors. Tenured faculty members should have ongoing research activities which could include: scholarly publications in refereed journals, books, chapters in books, monographs, presentations at scholarly meetings, grant proposals and/or reports, or scholarly research projects with graduate students. While publication in so-called “prestigious” journals can be taken as prima facie evidence of quality of content, it is the quality of the faculty member’s work submitted rather than the average quality of the journal that ultimately determines the professional standing of the individual (and his/her department). The department chair or director, working with a department (school) Personnel Committee, is best qualified to judge and assess the quality of a faculty member’s research output and research agenda with respect to individual and departmental goals and aspirations.

Service Responsibilities

In the service area, assessment must take into consideration assignments both external and internal to the University. These activities include professional service on departmental, college, and university committees as well as service to governments, practitioner groups, or community organizations within the faculty member’s area of expertise. Furthermore, assessment of service should also include contributions to the scholastic enterprise of their discipline, including services related to professional scholarly meetings, editorial and referee work for scholarly journals, and services to professional organizations within the field of a faculty member’s scholarly expertise.

The allocation of effort for individual faculty members may deviate from the traditional 40-40-20 allocation in ways that take into account the teaching, research, and service dimensions of the faculty member activities and accomplishments. However, workload adjustments must consider the need for all tenured faculty members to remain academically qualified as prescribed by AACSB (see Eligibility Procedures and Standards for Business Accreditation approved April 25, 2003) and as specified above by the Performance Expectations for Tenured Faculty Members (revised April 15, 1999) document. These documents suggest that the allocation of research effort should never equal 0%.

The CoB faculty performance policy referenced above suggests a college workload policy design that affirms the strengths of individual faculty members and aims to provide flexible workload assignments in a manner that enables each faculty member to realize their full potential. This document reaffirms that intent. Adjustments to the allocation of effort should not be based on any single criterion but should take into account the long-term and continuing total contributions of faculty members. In addition, special attention should be paid to “not fully promoted” faculty such that they have the opportunity to allocate their time in a manner necessary to make progress toward promotion. While the intent of this document is to specify an adjustment policy separate from the post tenure review process, it should be noted that continued chronic deficiencies after workload adjustments could still result in post-tenure review (see the Post Tenure Review Policy adopted 9/30/97, amended 9/16/98).
The specific apportionment of a faculty member’s responsibilities shall be reviewed annually, as part of the faculty evaluation process. In evaluating faculty on the basis of their contribution to teaching, research, and service, the College of Business recognizes the importance of academic freedom as a principle of fundamental importance in the conduct of an intellectually vibrant university. Discussions of changes in apportionment of teaching, research, or service responsibilities may be initiated by either the faculty member or the department chair (director). In the process of any such discussions, both the faculty member and the chair (director) shall act in good faith to reach a mutual agreement. The results of these consultations should be included in the annual review of the faculty member. Mutually agreeable changes in workload can be implemented based on that consultation process. It is a department chair or director’s responsibility working in conjunction with the Dean and other department chairs to ascertain the recommended changes are consistent with workload assignments across the college. Workload adjustments can include both increases and decreases in teaching but with the resulting expectations for research output modified accordingly. The modified allocation of effort becomes the basis of future evaluations, recognizing the need for all faculty members to remain academically qualified.

The annual faculty review provides a vehicle for communicating to faculty members suggestions for improving faculty efforts and remedies for addressing deficiencies as well as establishing an adequate time period for accomplishing these suggestions. Given that the AACSB requires the maintenance of knowledge and expertise of faculty through learning and pedagogical research, contributions to practice, and discipline-based scholarship over the past five years, a reasonable evaluation period would be a rolling five-year window. Outcomes from effort would need to be evident by the third year of any evaluation period to avoid deficiencies in performance assuming no interruptions of service for medical, administrative or other recognized disruptions. It is the department chair or directors responsibility to make a reasonable effort to provide resources to address perceived deficiencies and enhance faculty productivity. Deficiencies in more than half of the years in an evaluation period should be the basis for chair or director recommendations for changes in the allocation of effort.

A workload adjustment must be reviewed by the department (school) personnel committee before implementation. The written evaluation and recommendation of the personnel committee and written evaluation and recommendation of the department chair (director) will become a part of the materials supplied to the College General committee (which serves as the CoB appeals committee) should the faculty member dispute the workload adjustment. After a workload adjustment has been made, faculty may initiate a request for a workload adjustment on an annual basis by demonstrating additional efforts/outcomes in research. Faculty always preserve the right to pursue outside grievance procedures as specified in the UNL Bylaws, Regent’s Bylaws, or as specified in other university guidelines including Guidelines for the Evaluation of Faculty: Annual Evaluations, Promotion, and Tenure (accepted December 5, 2001).

Documents referenced in this policy can be found at the following web sites:

AACSB Eligibility Procedures and Standards for Business Accreditation (pp.40-44): http://www.aacsb.edu/accreditation/standards.asp

UNL Post Tenure Review Policy: http://www.unl.edu/svcaa/policies/posttenure_review.shtml

UNL Guidelines for the Evaluation of Faculty: Annual Evaluations, Promotion, and Tenure http://www.unl.edu/svcaa/resources/promotion/