

## A. CRITERIA AND PROCEDURES FOR ASSESSING ACADEMIC AND PROFESSIONAL QUALIFICATIONS OF FACULTY MEMBERS

Approved by Faculty Forum December 2, 2016

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This document describes the criteria and procedures used by the CCC to assess the academic and professional qualifications of faculty, as described in Standard 15 of *Eligibility Procedures and Accreditation Standards for Business Accreditation* from the AACSB.

We view these criteria and procedures as a cooperative effort between faculty members and College administrators to maintain a high level of instructional quality for our students. They also are intended to achieve a level of intellectual contributions consistent with the teaching and research mission of the College, as required by Standard 2 of the AACSB.

The various items that are used as metrics for evaluating faculty contributions are consistent with our College's goals:

1. To be the college of choice for Alabama students and state, regional, and national corporate recruiters and to provide our students with the skills and knowledge to enable them to work anywhere.
2. To have a national research reputation and attract quality faculty.
3. To maintain diversity in our faculty, staff, and student body.
4. To support economic development and outreach initiatives at the local and state levels.
5. To obtain sufficient funding to accomplish the College's goals.

AACSB Standard 15 (Adopted April 8, 2013 and revised January 31, 2016) requires that at least 90 percent of faculty resources be either academically or professionally qualified. The standard further states [items in italics are from the AACSB standard]:

*A school must develop appropriate criteria consistent with its mission for the classification of faculty according to initial academic preparation, professional experience, ongoing scholarship, and ongoing professional engagement. The standard provides guidance only; each school should adapt this guidance to its particular situation and mission by developing and implementing criteria that indicate how the school is meeting the spirit and intent of the standard. The critical factor in determining whether faculty members bring current and relevant information is the alignment of their engagement activities with their primary teaching responsibilities and with the overall mission, expected outcomes and strategies of the school. Schools should develop specific policies to provide criteria by which qualifications status is granted and maintained.*

*These criteria should address the following:*

- *The combinations of academic preparation and professional experience required of faculty at the time of hiring, as well as the types of academic and professional development activities required of faculty after they have been hired in order for them to sustain their qualification status.*
- *How it assigns priority and value to different continuing academic and professional engagement activities; how such assignments support its portfolio of SA, PA, SP, and IP faculty; and how this portfolio of faculty supports its mission, expected outcomes, and strategies.*
- *The qualitative standards it requires for various, specified development activities and illustrates the ways that it assures the quality of these activities.*
- *The depth, breadth, and sustainability of academic and professional engagement (linked to reasonable outcomes) that faculty members are expected to undertake within the typical five-year AACSB review cycle in order to maintain their qualification status.*

Further, the standard requires:

*The school has a clearly defined process by which it evaluates how faculty members contribute to the mission and maintain their qualifications.*

This document outlines the criteria the Culverhouse College of Commerce will use to determine faculty qualifications.

### **Broad Criteria for Qualification**

Each faculty member has the professional responsibility to maintain her/his qualifications through ongoing activities that involve the acquisition, development, and communication of knowledge and skills relevant to the faculty member's teaching responsibilities. Every faculty member is expected to maintain knowledge of current developments in her/his area of expertise and to incorporate that knowledge in courses taught by the faculty member. The approach that the faculty member takes to maintaining their knowledge varies. AACSB standard 15 describes four categories for faculty qualification:

- **Scholarly Academics (SA)** sustain currency and relevance through scholarship and related activities.
- **Practice Academics (PA)** sustain currency and relevance through professional engagement, interaction, and relevant activities. Normally, PA status applies to faculty members who augment their initial preparation as academic scholars with development and engagement activities that involve substantive linkages to practice, consulting, other forms of professional engagement, etc., based on the faculty members' earlier work as an SA faculty member.
- **Scholarly Practitioners (SP)** sustain currency and relevance through continued professional experience, engagement, or interaction and scholarship related to their professional background and experience. Normally, SP status applies to practitioner faculty members who augment their experience with development and engagement activities involving substantive scholarly activities in their fields of teaching.

- **Instructional Practitioners (IP)** sustain currency and relevance through continued professional experience and engagement related to their professional backgrounds and experience. Normally, IP status is granted to newly hired faculty members who join the faculty with significant and substantive professional experience as outlined below.

### **Specific Criteria for Qualification**

Below are the standards required for a faculty member to meet each of the four categories of academic qualification. Consistent with the AACSB standards, each category requires initial preparation to be assigned to the category and ongoing activities to maintain their status in the category. The standards set forth in this section are not intended to be used for merit pay or promotion/tenure decisions.

#### **Scholarly Academic (SA)**

##### *Initial Preparation:*

An appropriate terminal degree in (or closely related to) one's teaching discipline. Normally, a doctorate (Ph.D. or DBA) is the appropriate initial preparation for SA status. For faculty members teaching business law, a graduate law degree (JD) is appropriate initial preparation for SA status. For faculty members teaching tax, a graduate tax degree or an appropriate combination of graduate degrees in law (LLM) and accounting is appropriate for initial preparation for SA status.

Faculty members who have received a terminal degree in the discipline in which they teach within the last 5 years will be considered SA. Faculty members that have completed all terminal degree requirements except for their dissertation (ABD) will be considered SA for three years following the defense of their dissertation proposal.

##### *Ongoing Activities:*

Publication of two Tier 1 journal articles, one additional peer-reviewed publication, and two additional contributions from the primary intellectual contributions or secondary intellectual contributions lists. The additional intellectual contributions can be additional peer-reviewed journal articles.

OR

Publication of three Tier 2 journal articles and three additional contributions from the primary intellectual contributions or secondary intellectual contributions lists.

#### **Practice Academic (PA)**

##### *Initial Preparation:*

An appropriate terminal degree in (or closely related to) one's teaching discipline. Normally, a doctorate (Ph.D. or DBA) is the appropriate initial preparation for PA status. For faculty members teaching business law, a graduate law degree (JD) is appropriate initial preparation for PA status. For faculty members teaching tax, a graduate tax degree or an appropriate combination of graduate degrees in law (LLM) and accounting is appropriate for initial preparation for PA status.

*Ongoing Activities:*

Due to the nature of this category, the scholarly contributions expected of a PA are not as significant and the range of activities that meet the qualifications for a PA are wide. As such, PAs are expected to publish at least two peer-reviewed journal articles\*\* AND have three contributions from the primary or secondary intellectual contributions, primary teaching contributions, or professional engagement activities lists.

Note: PA status is not intended as the default option for faculty that cannot meet the qualifications for SA status. Faculty currently in SA status must obtain approval from their department head and the Dean's Office prior to pursuing PA status.

\*\*Clinical Instructors with a doctoral degree and an eight course per year teaching load may elect to substitute two additional activities from the primary or secondary intellectual contributions, primary teaching contributions, or professional engagement activities lists in place of two peer-reviewed journal publications. This would mean they are engaged in five total contributions from the ongoing activities lists over the period under review.

**Scholarly Practitioner (SP)**

*Initial Preparation:*

Possess a post-baccalaureate degree in (or related to) the field in which s/he is teaching, preferably from an AACSB accredited business program.

AND

Have professional experience in a position that can reasonably be expected to develop knowledge and skills consistent with the faculty member's teaching responsibilities. Generally, five years of work experience in the field one will be teaching is necessary.

*Ongoing Activities:*

Publication of one peer-reviewed journal publication and two additional contributions from the primary or secondary intellectual contributions list, plus one additional contribution from either the primary teaching contributions, or professional engagement activities lists.

**Instructional Practitioner (IP)**

*Initial Preparation:*

Possess a post-baccalaureate degree in (or related to) the field in which s/he is teaching, preferably from an AACSB accredited business program,

AND

Have professional experience in a position that can reasonably be expected to develop knowledge and skills consistent with the faculty member's teaching responsibilities. Generally, five years of work experience in the field one will be teaching is necessary.

*Ongoing Activities:*

Four contributions from the primary teaching contributions or professional engagement activities lists. No more than three activities may be counted in any single academic year.

## **Ongoing Activities**

The activities below are examples of activities that can be considered to meet qualifications outlined above. Activities that are not included below may be considered; however, it is the responsibility of the faculty member to make the case, in writing, to his or her department head that the activity is similar in scope to the other activities in the category.

### **Primary Intellectual Contributions**

- Peer-reviewed journal articles
- Research monographs
- Academic books, either edited or authored, of the type that would be cited in other academic work or used as readings for doctoral-level courses
- Editor or associate editor of a peer-reviewed journal
- PhD committee chair
- Principal investigator of an external grant larger than \$100,000
- Significant research award from a national organization, including election as fellow of a national/international society

### **Secondary Intellectual Contributions**

- Invited chapters in edited books
- Peer-reviewed proceedings
- Non-peer reviewed journal articles (e.g., editorials or commentary pieces). Does not include letters to the editor or brief summaries of other research studies.
- Co-Investigator on a grant larger than \$50,000
- Presentation of research findings at a national/international conference
- Invited presentation to a faculty seminar at another university
- Journal editorial board membership
- Chair of research award committee for national organization

### **Primary Teaching Contributions**

- Publication of a textbook
- Publication of an article about a pedagogical issue in a peer-reviewed journal (e.g., a teaching innovation/methods article in a peer-reviewed journal)
- Develop or substantially revise a course within one's teaching discipline
- Teach an executive education course within one's teaching discipline (teaching for another university or in the Manderson Executive MBA program does not qualify)
- Publish a case study in an academic outlet (e.g., journal, book)
- Significant teaching award from a national organization
- University teaching award from the University of Alabama
- Presentation of a teaching innovation in a seminar to other faculty/graduate students

### **Professional Engagement Activities**

- Officer/leader/board member for national organization or conference with significant responsibilities
- Consulting engagement or project within one's teaching discipline
- Earn/renew professional certification within one's teaching discipline
- Documented continuing education relevant to one's teaching profession (8 hours of professional development can be counted as 1 professional engagement activity; continuing education can be used for a maximum of 2 professional engagement activities)
- Service on the board of directors/advisors for an external organization
- Faculty internship at an external organization (at least three months in length)
- Service on a state or federal board/committee
- Attend professional or academic conference/workshop/seminar
- Presentation to a practitioner group
- Continued employment (including self-employment) in field related to teaching discipline (in a manner within UA guidelines).

## **Exceptions to Academic Qualifications**

- (i) Faculty members who have received a terminal degree in the discipline in which they teach within the last 5 years will be considered SA.
  
- (ii) Faculty members who are ABD in the discipline in which they teach will be considered SA if they defended their dissertation proposal within the last 3 years. Note: The number of SA faculty without terminal degrees is limited to not more than 10% of the faculty.
  
- (iii) Faculty members who had been classified as SA who hold full-time administrative positions at the University of Alabama are considered SA. Upon cessation of administrative service and return to the faculty, these individuals will be considered SA for three (3) additional years.
  
- (iv) Faculty members who hold a non-full-time administrative role for the College in addition to their normal faculty responsibilities are considered SA. This includes department heads and associate deans on 9-month contracts. This does not include faculty serving as research center directors, program directors (e.g., graduate program directors), and similar roles. Upon cessation of administrative service and return to the faculty, these individuals will be considered SA for two (2) additional years.

## **Implications for Faculty Workload**

The categories above acknowledge the portfolio of approaches faculty may take to contribute to the mission of the Culverhouse College of Commerce. Each approach provides value to the college. Additionally, each approach requires different expectations regarding the allocation of the faculty member's time.

In general, SA faculty will have a teaching load consistent with that of research-active faculty (generally, 4 courses per academic year). Faculty in positions that generally focus on instruction (e.g., clinical instructors) may be eligible for a reduction in their teaching load if they are able to meet the qualifications for SA, PA, or SP status, subject to the teaching needs of the department and approval by the Dean's Office.

As faculty transition to PA status, it is expected that their teaching load will increase. As a general guideline, PA faculty will teach 6 courses per academic year as their regular teaching load. Similarly, as SP faculty dedicate a portion of their time to research, it is expected that their teaching load will be somewhat reduced from the full teaching load (generally, 5-7 courses per academic year depending on the level of involvement in research).

IP faculty make their primary contributions to the Culverhouse mission through their teaching. As a result, it is expected that IP faculty will teach the full teaching load of 8 courses per academic year.

## **Documentation Procedures for Academic Qualifications**

It is the responsibility of each faculty member to document his/her intellectual contributions and development activities and submit such documentation to the department head each year by April 1. The documentation will include activities starting from April 1 five years prior to the current year's review. The department head should review the documentation and evaluate the merits of each faculty member's activities. Records of these documents must be provided to the Senior Associate Dean each year by May 1. These records will remain on file in the Dean's office.

If doubt exists about the qualifications, the department head should discuss her/his concerns with the faculty member. If disagreement exists with respect to the department head's decision, the matter should be discussed with the Senior Associate Dean. The College administration is the final arbiter of decisions concerning academic and professional qualifications, subject to standards for appeal.

### **Procedures for Faculty Not Meeting Qualifications**

In those instances when a faculty member does not fit the qualifications for any of the four categories or is not meeting the qualifications for the category in which the faculty member is expected to meet the qualifications, the department head will work with the faculty member to modify the faculty member's activities in an effort to remove deficiencies.

1. The faculty member must provide a detailed plan for how he or she will meet the qualifications of the appropriate category at the next review (one year later).
2. Faculty members working toward meeting the appropriate qualifications may **not** teach overload courses during the academic year until they have met the qualifications for the appropriate category. Faculty members working to meet the appropriate qualifications may be permitted to teach during interim/summer sessions, but their teaching may be limited to provide adequate time to meet the appropriate qualifications. They may also be removed from other administrative or service positions in order to allow them time to meet the appropriate qualifications.
3. Late in the following fall semester, the department head will review the faculty member's progress toward meeting the qualifications.
4. If the faculty member has not met the qualifications during the next review period, the department head will modify the faculty member's workload and activities to meet the category for which the faculty member is meeting the qualifications. For example, a faculty member with a teaching load consistent with research-active faculty who is not meeting the qualifications for SA status will have his or her teaching load increased to fit the category for which he or she is qualified. Clinical faculty members on renewable contracts that are not meeting the qualifications of any category will not have their contracts renewed.
5. Faculty members who have had their workload altered may return to their original workload if they are able to meet the qualifications of the category they were originally assigned (e.g., a faculty member whose teaching load was increased could have their teaching load reduced if they meet the qualifications for SA status).

## **Version History**

9/7/2016 – Approved by Faculty Executive Board by vote of 11-1

10/12/2016 – Reduced continuing education requirement to 8 credits to count for 1 professional engagement activity to allow for each full day of continuing education to count as an activity, changed tax initial preparation to LLM to be consistent with American Taxation Association, and added provision that allows for clinical instructors to substitute additional activities from ongoing activities list rather than peer-reviewed publications.

11/15/16 – Approved by Faculty Executive Board by vote of 7-5.

12/2/16 – Approved by Faculty Forum by vote of 72 for, 8 against, 3 abstentions.